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|  |       |                 |   |                       | ATTY. DOCKET NO.<br>S 2060.0060008/PAJ/M-M |           |             |
|--|-------|-----------------|---|-----------------------|--|-----------|-------------|
|  |       |                 |   |                       | APPLICATION NO.<br>09/350,401              |           |             |
| FORM PTO-1449<br>THIRD SUPPLEMENTAL INFORMATION STATEMENT  |       |                 |   |                       | APPLICANT(S)<br>SETTE <i>et al.</i>        |           |             |
|  |       |                 |   |                       | FILING DATE<br>July 8, 1999                |           |             |
| ART UNIT<br>1644   |       |                 |   |                       |  |           |             |
| <b>-U.S. PATENT DOCUMENTS</b>  |       |                 |   |                       |  |           |             |
| EXAMINER INITIAL   |       | DOCUMENT NUMBER | DATE  | NAME                  | CLASS                                      | SUB-CLASS | FILING DATE |
| <i>MM</i>  | AA100 | 4,235,877       | 11/25/1980  | Fullerton             | —  | —         | 06/27/1979  |
|  | AB100 | 4,487,715       | 12/11/1984  | Nitecki <i>et al.</i> | —  | —         | 07/09/1982  |
|  | AC100 | 4,599,230       | 07/08/1986  | Milich <i>et al.</i>  | —  | —         | 08/09/1984  |
|  | AD100 | 4,837,028       | 06/06/1989  | Allen                 | —  | —         | 12/24/1986  |
|  | AE100 | 5,013,548       | 05/07/1991  | Haynes <i>et al.</i>  | —  | —         | 01/21/1988  |
|  | AF100 | 5,128,319       | 07/07/1992  | Arlinghaus            | —  | —         | 09/20/1989  |
|  | AG100 | 5,736,142       | 04/07/1998  | Sette <i>et al.</i>   | —  | —         | 09/14/1994  |
|  | AH100 | 5,783,567       | 07/21/1998  | Hedley <i>et al.</i>  | —  | —         | 01/22/1997  |
|  | AI    |                 |   |                       |  |           |             |
|  | AJ    |                 |   |                       |  |           |             |
|  | AK    |                 |   |                       |  |           |             |
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| EXAMINER INITIAL   |       | DOCUMENT NUMBER | DATE  | COUNTRY               | CLASS                                      | SUB-CLASS | TRANSLATION |
| <i>MM</i>  | AL100 | EP 0 378 881    | 06/09/1993  | Europe                | —  | —         | Yes<br>No   |
|  | AM100 | EP 0 429 816    | 06/05/1991  | Europe                | —  | —         | Yes<br>No   |
|  | AN100 | EP 0 433 242    | 06/19/1991  | Europe                | —  | —         | Yes<br>No   |
|  | AO100 | WO 93/03764     | 03/04/1993  | WIPO                  | —  | —         | Yes<br>No   |
|  | AP100 | WO 94/20127     | 09/15/1994  | WIPO                  | —  | —         | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |       |                 |   |                       |  |           |             |
| <i>MM</i>  | AR    | 100             | Alexander, J., <i>et al.</i> , "Development of High Potency Universal DR-Restricted Helper Epitopes by Modification of High Affinity DR-Blocking Peptides," <i>Immunity</i> 1:751-761, Cell Press (1994). |                       |  |           |             |
|  | AS    | 100             | Arndt, S.O., <i>et al.</i> , "Selection of the MHC Class II-Associated Peptide Repertoire by HLA-DM," <i>Immunol. Res.</i> 16:261-272, Humana Press (December 1997)                                       |                       |  |           |             |
|  | AT    | 100             | Barouch, D., <i>et al.</i> , "HLA-A2 Subtypes Are Functionally Distinct in Peptide Binding and Presentation," <i>J. Exp. Med.</i> 182:1847-1856, Rockefeller University Press (1995)                      |                       |  |           |             |
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| EXAMINER INITIAL | DOCUMENT NUMBER   | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|-------------------|------------|---------|-------|-----------|-------------|
| MM               | AL101 WO 95/07707 | 03/23/1995 | WIPO    | —     | —         | Yes<br>No   |
|                  | AM101 WO 96/22067 | 07/25/1996 | WIPO    | —     | —         | Yes<br>No   |
|                  | AN101 WO 97/41440 | 11/06/1997 | WIPO    | —     | —         | Yes<br>No   |
|                  | AO101 WO 97/34617 | 09/25/1997 | WIPO    | —     | —         | Yes<br>No   |
| ↓                | AP101 WO 01/00225 | 01/04/2001 | WIPO    | —     | —         | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |     |  |
|----|----|-----|--|
| MM | AR | 101 | Bender, A., <i>et al.</i> , "Improved methods for the generation of dendritic cells from nonproliferating progenitors in human blood," <i>J. Immunol. Methods</i> 196:121-135, Elsevier Science (1996) |
|    | AS | 101 | Ben-Yedidya, T., and Arnon, R., "Design of peptide and polypeptide vaccines," <i>Curr. Opin. Biotechnol.</i> 8:442-448, Current Biology, Ltd. (1997)   |
|    | AT | 101 | Carbone, F.R., and Bevan, M.J., "Induction of Ovalbumin-Specific Cytotoxic T Cells by In Vivo Peptide Immunization," <i>J. Exp. Med.</i> 169:603-612, Rockefeller University Press (1989)              |

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|                  | AG |                 |      |      |       |           |             |
|                  | AH |                 |      |      |       |           |             |
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|                  | AJ |                 |      |      |       |           |             |
|                  | AK |                 |      |      |       |           |             |

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|------------------|-------|-----------------|----------|---------|-------|-----------|-------------|
| MM               | AL102 | WO 98/32456     | 07/30/98 | WIPO    | —     | —         | Yes<br>No   |
| VM               | AM102 | WO 99/58658     | 11/18/99 | WIPO    | —     | —         | Yes<br>No   |
|                  | AN    |                 |          |         |       |           | Yes<br>No   |
|                  | AO    |                 |          |         |       |           | Yes<br>No   |
|                  | AP    |                 |          |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |     |  |
|----|----|-----|--|
| JK | AR | 102 | Carbone, F.R., <i>et al.</i> , "Induction of Cytotoxic T Lymphocytes by Primary In Vitro Stimulation with Peptides," <i>J. Exp. Med.</i> 167:1767-1779, Rockefeller University Press (1988)                                |
|    | AS | 102 | Cassell, D., and Forman, J., "Linked Recognition of Helper and Cytotoxic Antigenic Determinants for the Generation of Cytotoxic T Lymphocytes," <i>Ann. N.Y. Acad. Sci.</i> 532:51-60, New York Academy Of Sciences (1991) |
|    | AT | 102 | Deres, K., <i>et al.</i> , " <i>In vivo</i> priming of virus-specific cytotoxic T lymphocytes with synthetic lipopeptide vaccine," <i>Nature</i> 342:561-564, Nature Publishing Group (1989)                               |

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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |     |   |
|-----|----|-----|---|
| 131 | AR | 103 | del Guercio, M-F., <i>et al.</i> , "Potent immunogenic short linear peptide constructs composed of B cell epitopes and Pan DR T Helper Epitopes (PADRE) for antibody responses <i>in vivo</i> ," <i>Vaccine</i> 15:441-448, Elsevier Science (March 1997) |
|     | AS | 103 | DiBrino, M., <i>et al.</i> , "Endogenous Peptides with Distinct Amino Acid Anchor Residue Motifs Bind to HLA-A1 and HLA-B8," <i>J. Immunol.</i> 152:620-631, American Association of Immunologists (1994)   |
|     | AT | 103 | DiBrino, M., <i>et al.</i> , "The HLA-B14 Peptide Binding Site Can Accommodate Peptides with Different Combinations of Anchor Residues," <i>J. Biol. Chem.</i> 269:32426-32434, American Society for Biochemistry and Molecular Biology (1994)            |

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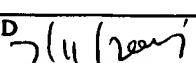
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|  | AH |                 |  |         |                                  |           |             |
|  | AJ |                 |  |         |                                  |           |             |
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|  | AL |                 |  |         |                                  |           | Yes<br>No   |
|  | AM |                 |  |         |                                  |           | Yes<br>No   |
|  | AN |                 |  |         |                                  |           | Yes<br>No   |
|  | AO |                 |  |         |                                  |           | Yes<br>No   |
|  | AP |                 |  |         |                                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |                                  |           |             |
| <i>M</i> )   | AR | <u>104</u>      | Donnelly, J.J., <i>et al.</i> , "DNA Vaccines," <i>Annu. Rev. Immunol.</i> 15:617-648, Annual Reviews Inc. (April 1997)  |         |                                  |           |             |
| <i>J</i>   | AS | <u>104</u>      | Francis, M.J., <i>et al.</i> , "Non-responsiveness to a foot-and-mouth disease virus peptide overcome by addition of foreign helper T-cell determinants," <i>Nature</i> 330:168-170, Nature Publication Group (1987) |         |                                  |           |             |
| <i>J</i>   | AT | <u>104</u>      | Fynan, E.F., <i>et al.</i> , "DNA vaccines: Protective immunizations by parental, mucosal, and gene-gun inoculations," <i>Proc. Natl. Acad. Sci. USA</i> 90:11478-11482, National Academy of Sciences (1993)         |         |                                  |           |             |
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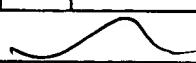
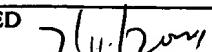
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|  | AN |                 |   |         |                               |           | Yes<br>No   |
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|  | AP |                 |   |         |                               |           | Yes<br>No   |
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| <i>WJ</i>  | AR | <u>105</u>      | Gileadi, U., <i>et al.</i> , "Effect of epitope flanking residues on the presentation of N-terminal cytotoxic T lymphocyte epitopes," <i>Eur. J. Immunol.</i> 29:2213-2222, WILEY-VCH Verlag GmbH (July 1999) |         |                               |           |             |
| <i>J</i>   | AS | <u>105</u>      | Golvanlo, J., <i>et al.</i> , "Polarity of immunogens: implications for vaccine design," <i>Eur. J. Immunol.</i> 20:2363-2366, VCH Verlagsgesellschaft mbH (1990)   |         |                               |           |             |
| <i>J</i>   | AT | <u>105</u>      | Gulukota, K., <i>et al.</i> , "Two Complementary Methods for Predicting Peptides Binding Major Histocompatibility Complex Molecules," <i>J. Mol. Biol.</i> 267:1258-1267, Academic Press Limited (April 1997) |         |                               |           |             |
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|  | AI |                 |  |         |                                  |           |             |
|  | AJ |                 |  |         |                                  |           |             |
|  | AK |                 |  |         |                                  |           |             |
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|  | AL |                 |  |         |                                  |           | Yes<br>No   |
|  | AM |                 |  |         |                                  |           | Yes<br>No   |
|  | AN |                 |  |         |                                  |           | Yes<br>No   |
|  | AO |                 |  |         |                                  |           | Yes<br>No   |
|  | AP |                 |  |         |                                  |           | Yes<br>No   |
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| <i>JM</i>  | AR | 106             | Hahn, Y.S., <i>et al.</i> , "CD8 <sup>+</sup> T Cell Recognition of an Endogenously Processed Epitope is Regulated Primarily by Residues within the Epitope," <i>J. Exp. Med.</i> 176:1335-1341, Rockefeller University Press (1992)   |         |                                  |           |             |
| <i>J</i>   | AS | 106             | Hahn, Y.S., <i>et al.</i> , "Presentation of Viral Antigen to Class I Major Histocompatibility Complex-Restricted Cytotoxic T Lymphocyte. Recognition of an Immunodominant Influenza Hemagglutinin Site by Cytotoxic T Lymphocyte is Independent of the Position of the Site in the Hemagglutinin Translation Product," <i>J. Exp. Med.</i> 174:733-736, Rockefeller University Press (1991) |         |                                  |           |             |
| <i>J</i>   | AT | 106             | Hammer, J., <i>et al.</i> , "Precise Prediction of Major Histocompatibility Complex Class II-Peptide Interaction Based on Peptide Side Chain Scanning," <i>J. Exp. Med.</i> 180:2353-2358, Rockefeller University Press (1994)   |         |                                  |           |             |
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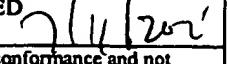
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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         |                               |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999  |         | ART UNIT<br>1644              |           |             |
|  |    |                 | <b>U.S. PATENT DOCUMENTS</b>   |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS                         | SUB-CLASS | FILING DATE |
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|  | AK |                 |  |         |                               |           |             |
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| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |                               |           | Yes<br>No   |
|  | AM |                 |  |         |                               |           | Yes<br>No   |
|  | AN |                 |  |         |                               |           | Yes<br>No   |
|  | AO |                 |  |         |                               |           | Yes<br>No   |
|  | AP |                 |  |         |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |                               |           |             |
| <i>M</i>   | AR | 107             | Hill, C.M., <i>et al.</i> , "Exploration of Requirements for Peptide Binding to HLA DRB1*0101 and DRB1*0401," <i>J. Immunol.</i> 152:2890-2898, American Association of Immunologists (1994)   |         |                               |           |             |
| <i>J</i>   | AS | 107             | Huczko, E.L., <i>et al.</i> , "Characteristics of Endogenous Peptides Eluted from the Class I MHC Molecule HLA-B7 Determined by Mass Spectrometry and Computer Modeling," <i>J. Immunol.</i> 151:2572-2587, American Association of Immunologists (1993)   |         |                               |           |             |
| <i>J</i>   | AT | 107             | Ishioka, G.Y., <i>et al.</i> , "Class I MHC-restricted, peptide specific cytotoxic T lymphocytes generated by peptide priming <i>in vivo</i> ," in <i>Vaccines90: Modern Approaches to New Vaccines Including Prevention of AIDS</i> , Brown, F., <i>et al.</i> , eds., Cold Spring Harbor Laboratory Press, Cold Spring Harbor, NY, pp. 7-11 (1990) |         |                               |           |             |
| EXAMINER   |    |                 | DATE CONSIDERED <i>7/11/201</i>  |         |                               |           |             |
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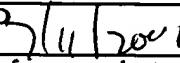
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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |         |                                  |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999   |         | ART UNIT<br>1644                 |           |             |
|  |    |                 | <b>U.S. PATENT DOCUMENTS</b>  |         |                                  |           |             |
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| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS                            | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |         |                                  |           | Yes<br>No   |
|  | AM |                 |   |         |                                  |           | Yes<br>No   |
|  | AN |                 |   |         |                                  |           | Yes<br>No   |
|  | AO |                 |   |         |                                  |           | Yes<br>No   |
|  | AP |                 |   |         |                                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |                                  |           |             |
| <i>MR</i>  | AR | <u>108</u>      | Ishioka, G.Y., <i>et al.</i> , "Induction of Class I MHC-Restricted, Peptide-Specific Cytolytic T Lymphocytes by Peptide Priming In Vivo," <i>J. Immunol.</i> 143:1094-1100, American Association of Immunologists (1989)   |         |                                  |           |             |
| <i>J</i>   | AS | <u>108</u>      | Jardetzky, T.S., <i>et al.</i> , "Peptide binding to HLA-DR1: a peptide with most residues substituted to alanine retains MHC binding," <i>EMBO J.</i> 9:1797-1803, Oxford University Press (1990)  |         |                                  |           |             |
| <i>J</i>   | AT | <u>108</u>      | Kast, W.M., <i>et al.</i> , "Protection against lethal Sendai virus infection by <i>in vivo</i> priming of virus-specific cytotoxic T lymphocytes with a free synthetic peptide," <i>Proc. Natl. Acad. Sci. USA</i> 88:2283-2287, National Academy of Sciences (1991) |         |                                  |           |             |
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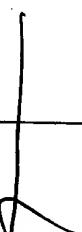
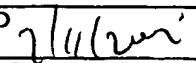
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| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE  | NAME                          | CLASS            | SUB-CLASS | FILING DATE |
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| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE  | COUNTRY                       | CLASS            | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |                               |                  |           | Yes<br>No   |
|  | AM |                 |   |                               |                  |           | Yes<br>No   |
|  | AN |                 |   |                               |                  |           | Yes<br>No   |
|  | AO |                 |   |                               |                  |           | Yes<br>No   |
|  | AP |                 |   |                               |                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |                               |                  |           |             |
|   | AR | 109             | Kondo, A., <i>et al.</i> , "Two distinct HLA-A*0101-specific submotifs illustrate alternative peptide binding modes," <i>Immunogenetics</i> 45:249-258, Springer-Verlag (January 1997)  |                               |                  |           |             |
|   | AS | 109             | Kubitscheck, U., <i>et al.</i> , "Peptide Binding to Class I Molecules of the Major Histocompatibility Complex on the Surface of Living Target Cells," <i>Scand. J. Immunol.</i> 36:341-348, Blackwell Scientific Publications (1992) |                               |                  |           |             |
|   | AT | 109             | Kubo, R.T., <i>et al.</i> , "Definition of Specific Peptide Motifs for Four Major HLA-A Alleles," <i>J. Immunol.</i> 152:3913-3924, American Association of Immunologists (1994)  |                               |                  |           |             |
| EXAMINER   |    |                 | DATE CONSIDERED    |                               |                  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |                               |                  |           |             |

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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         | FILING DATE<br>July 8, 1999   |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |  |         |   |           |             |
| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS   | SUB-CLASS | FILING DATE |
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| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |   |           | Yes<br>No   |
|  | AM |                 |  |         |   |           | Yes<br>No   |
|  | AN |                 |  |         |   |           | Yes<br>No   |
|  | AO |                 |  |         |   |           | Yes<br>No   |
|  | AP |                 |  |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |   |           |             |
|   | AR | 110             | Kumar, A., <i>et al.</i> , "Universal T Helper Cell Determinants Enhance Immunogenicity of a <i>Plasmodium falciparum</i> Merozoite Surface Antigen Peptide," <i>J. Immunol.</i> 148:1499-1505, American Association of Immunologists (1992)   |         |   |           |             |
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|   | AT | 110             | Madden, D.R., <i>et al.</i> , "The structure of HLA-B27 reveals nonamer self-peptides bound in an extended conformation," <i>Nature</i> 353:321-325, Nature Publishing Group (1991)  |         |   |           |             |
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| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE   | NAME                          | CLASS                          | SUB-CLASS | FILING DATE |
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|  | AI |                 |  |                               |                                |           |             |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |                               |                                |           |             |
| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE   | COUNTRY                       | CLASS                          | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |                               |                                |           | Yes<br>No   |
|  | AM |                 |  |                               |                                |           | Yes<br>No   |
|  | AN |                 |  |                               |                                |           | Yes<br>No   |
|  | AO |                 |  |                               |                                |           | Yes<br>No   |
|  | AP |                 |  |                               |                                |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |                               |                                |           |             |
| <i>JK</i>  | AR | 111             | Maier, R., <i>et al.</i> , "Peptide motifs of HLA-A3, -A24, and -B7 molecules as determined by pool sequencing," <i>Immunogenetics</i> 40:306-308, Springer-Verlag (1994)  |                               |                                |           |             |
| <i>J</i>   | AS | 111             | Martinon, F., <i>et al.</i> , "Immunization of Mice with Lipopeptides Bypasses the Prerequisite for Adjuvant," <i>J. Immunol.</i> 149:3416-3422, American Association of Immunologists (1992)                                |                               |                                |           |             |
| <i>J</i>   | AT | 111             | Niedermann, G., <i>et al.</i> , "Contribution of Proteasome-Mediated Proteolysis to the Hierarchy of Epitopes Presented by Major Histocompatibility Complex Class I Molecules," <i>Immunity</i> 2:289-299, Cell Press (1995) |                               |                                |           |             |
| EXAMINER   |    |                 |  |                               | DATE CONSIDERED <i>14/2001</i> |           |             |
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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         |   |           |             |
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| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |   |           | Yes<br>No   |
|  | AM |                 |  |         |   |           | Yes<br>No   |
|  | AN |                 |  |         |   |           | Yes<br>No   |
|  | AO |                 |  |         |   |           | Yes<br>No   |
|  | AP |                 |  |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |   |           |             |
|    | AR | 112             | Niedermann, G., <i>et al.</i> , "The specificity of proteasomes: impact on MHC class I processing and presentation of antigens," <i>Immunol. Rev.</i> 172:29-48, Munksgaard (December 1999)    |         |   |           |             |
|   | AS | 112             | Nikolić-Žugić, J., and Carbone, F.R., "Peptide Presentation by Class-I Major Histocompatibility Complex Molecules," <i>Immunol. Res.</i> 10:54-65, S. Karger AG (1991)                         |         |   |           |             |
|   | AT | 112             | O'Sullivan, D., <i>et al.</i> , "Characterization of the Specificity of Peptide Binding to Four DR Haplotypes," <i>J. Immunol.</i> 145:1799-1808, American Association of Immunologists (1990) |         |   |           |             |
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|  | AO |                 |   |         |   |           | Yes<br>No   |
|  | AP |                 |   |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |   |           |             |
|   | AR | 113             | O'Sullivan, D., <i>et al.</i> , "On the Interaction of Promiscuous Antigenic Peptides with Different DR Alleles," <i>J. Immunol.</i> 147:2663-2669, American Association of Immunologists (1991)  |         |   |           |             |
|   | AS | 113             | Panina-Bordignon, P., <i>et al.</i> , "Universally immunogenic T cell epitopes: promiscuous binding to human MHC class II and promiscuous recognition by T cells," <i>Eur. J. Immunol.</i> 19:2237-2242, VCH Verlagsgesellschaft mbH (1989) |         |   |           |             |
|   | AT | 113             | Paz, P., <i>et al.</i> , "Discrete Proteolytic Intermediates in the MHC Class I Antigen Processing Pathway and MHC I-Dependent Peptide Trimming in the ER," <i>Immunity</i> 11:241-251, Cell Press (August 1999)                            |         |   |           |             |
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|  | AJ |                 |   |         |   |           |             |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |         |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |         |   |           | Yes<br>No   |
|  | AM |                 |   |         |   |           | Yes<br>No   |
|  | AN |                 |   |         |   |           | Yes<br>No   |
|  | AO |                 |   |         |   |           | Yes<br>No   |
|  | AP |                 |   |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |   |           |             |
|    | AR | 114             | Penna, A., <i>et al.</i> , "Cytotoxic T Lymphocytes Recognize an HLA-A2-Restricted Epitope Within the Hepatitis B Virus Nucleocapsid Antigen," <i>J. Exp. Med.</i> 174:1565-1570, Rockefeller University Press (1991)                                     |         |   |           |             |
|   | AS | 114             | Pryjma, J., <i>et al.</i> , "Induction and Suppression of Immunoglobulin Synthesis in Cultures of Human Lymphocytes: Effects of Pokeweed Mitogen and <i>Staphylococcus Aureus</i> Cowan I," <i>J. Immunol.</i> 124:656-661, Williams & Wilkins Co. (1980) |         |   |           |             |
|   | AT | 114             | Rahemtulla, A., <i>et al.</i> , "Normal development and function of CD8 <sup>+</sup> cells but markedly decreased helper cell activity in mice lacking CD4," <i>Nature</i> 353:180-183, Nature Publishing Group (1991)                                    |         |   |           |             |
| EXAMINER   |    |                 |   |         | DATE CONSIDERED  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |         |   |           |             |

| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b>  |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  |                                  | APPLICATION NO.<br>09/350,401 |           |             |
|--|----|-----------------|---|----------------------------------|-------------------------------|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |                                  |                               |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999   |                                  | ART UNIT<br>1644              |           |             |
|  |    |                 | <b>U.S. PATENT DOCUMENTS</b>  |                                  |                               |           |             |
| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE  | NAME                             | CLASS                         | SUB-CLASS | FILING DATE |
|  | AA |                 |   |                                  |                               |           |             |
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|  | AC |                 |   |                                  |                               |           |             |
|  | AD |                 |   |                                  |                               |           |             |
|  | AE |                 |   |                                  |                               |           |             |
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|  | AG |                 |   |                                  |                               |           |             |
|  | AH |                 |   |                                  |                               |           |             |
|  | AI |                 |   |                                  |                               |           |             |
|  | AJ |                 |   |                                  |                               |           |             |
|  | AK |                 |   |                                  |                               |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |                                  |                               |           |             |
| EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER | DATE  | COUNTRY                          | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |                                  |                               |           | Yes<br>No   |
|  | AM |                 |   |                                  |                               |           | Yes<br>No   |
|  | AN |                 |   |                                  |                               |           | Yes<br>No   |
|  | AO |                 |   |                                  |                               |           | Yes<br>No   |
|  | AP |                 |   |                                  |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |                                  |                               |           |             |
| ✓  | AR | 115             | Rammensee, H-G., <i>et al.</i> , "SYFPEITHI: database for MHC ligands and peptide motifs," <i>Immunogenetics</i> 50:213-219, Springer-Verlag (November 1999)  |                                  |                               |           |             |
| ✓  | AS | 115             | Reitermann, A., <i>et al.</i> , "Lipopeptide Derivatives of Bacterial Lipoprotein Constitute Potent Immune Adjuvants Combined with or Covalently Coupled to Antigen or Hapten," <i>Biol. Chem. Hoppe Seyler</i> 370:343-352, Walter De Gruyter (1989) |                                  |                               |           |             |
| ✓  | AT | 115             | Restifo, N.P., <i>et al.</i> , "Antigen Processing In Vivo and the Elicitation of Primary CTL Responses," <i>J. Immunol.</i> 154:4414-4422, American Association of Immunologists (1995)  |                                  |                               |           |             |
| EXAMINER   |    |                 |   | DATE CONSIDERED <u>7/11/2007</u> |                               |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |                                  |                               |           |             |

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| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|   |  | APPLICANT(S)<br>SETTE <i>et al.</i>      |                               |
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**U.S. PATENT DOCUMENTS**

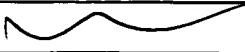
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**FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|-----------------|------|---------|-------|-----------|-------------|
| AL               |                 |      |         |       |           | Yes<br>No   |
| AM               |                 |      |         |       |           | Yes<br>No   |
| AN               |                 |      |         |       |           | Yes<br>No   |
| AO               |                 |      |         |       |           | Yes<br>No   |
| AP               |                 |      |         |       |           | Yes<br>No   |

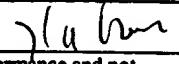
**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

|   |    |            |   |
|---|----|------------|---|
|  | AR | <u>116</u> | Saper, M.A., <i>et al.</i> , "Refined Structure of the Human Histocompatibility Antigen HLA-A2 at 2.6 Å Resolution," <i>J. Mol. Biol.</i> 219:277-319, Academic Press Ltd. (1991)   |
|  | AS | <u>116</u> | Schaeffer, E.B., <i>et al.</i> , "Relative contribution of 'determinant selection' and 'holes in the T-cell repertoire' to T-cell responses," <i>Proc. Natl. Acad. Sci. USA</i> 86:4649-4653, National Academy of Sciences (1989) |
|  | AT | <u>116</u> | Schumacher, T.N.M., <i>et al.</i> , "Peptide selection by MHC class I molecules," <i>Nature</i> 350:703-706, Nature Publishing Group (1991)   |

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| EXAMINER |  | DATE CONSIDERED |
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|   |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |         |                                  |           |             |
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|   |    |                 | <b>U.S. PATENT DOCUMENTS</b>  |         |                                  |           |             |
| EXAMINER INITIAL  |    | DOCUMENT NUMBER | DATE  | NAME    | CLASS                            | SUB-CLASS | FILING DATE |
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|   | AJ |                 |   |         |                                  |           |             |
|   | AK |                 |   |         |                                  |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>   |    |                 |   |         |                                  |           |             |
| EXAMINER INITIAL  |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS                            | SUB-CLASS | TRANSLATION |
|   | AL |                 |   |         |                                  |           | Yes<br>No   |
|   | AM |                 |   |         |                                  |           | Yes<br>No   |
|   | AN |                 |   |         |                                  |           | Yes<br>No   |
|   | AO |                 |   |         |                                  |           | Yes<br>No   |
|   | AP |                 |   |         |                                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>   |    |                 |   |         |                                  |           |             |
| <i>ML</i>   | AR | 117             | Sette, A., and Sidney, J., "HLA supertypes and supermotifs: a functional perspective on HLA polymorphism," <i>Curr. Opin. Immunol.</i> 10:478-482, Current Biology Publications (August 1998)                         |         |                                  |           |             |
| <i>ML</i>   | AS | 117             | Sette, A., <i>et al.</i> , "A Novel Approach to the Generation of High Affinity Class II-Binding Peptides," <i>J. Immunol.</i> 145:1809-1813, American Association of Immunologists (1990)                            |         |                                  |           |             |
| <i>ML</i>   | AT | 117             | Sette, A., <i>et al.</i> , "Effect of Conformational Propensity of Peptide Antigens in Their Interaction with MHC Class II Molecules," <i>J. Immunol.</i> 143:1268-1273, American Association of Immunologists (1989) |         |                                  |           |             |
| EXAMINER  |    |                 |   |         | DATE CONSIDERED <i>7/11/2001</i> |           |             |
| <b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |         |                                  |           |             |

| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  |   | APPLICATION NO.<br>09/350,401 |           |             |
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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |   |                               |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999   |   | ART UNIT<br>1644              |           |             |
|  |    |                 | <b>U.S. PATENT DOCUMENTS</b>  |   |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | NAME  | CLASS                         | SUB-CLASS | FILING DATE |
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|  | AF |                 |   |   |                               |           |             |
|  | AG |                 |   |   |                               |           |             |
|  | AH |                 |   |   |                               |           |             |
|  | AI |                 |   |   |                               |           |             |
|  | AJ |                 |   |   |                               |           |             |
|  | AK |                 |   |   |                               |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |   |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY   | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |   |                               |           | Yes<br>No   |
|  | AM |                 |   |   |                               |           | Yes<br>No   |
|  | AN |                 |   |   |                               |           | Yes<br>No   |
|  | AO |                 |   |   |                               |           | Yes<br>No   |
|  | AP |                 |   |   |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |   |                               |           |             |
|    | AR | 118             | Sette, A., <i>et al.</i> , "Peptide Binding to the Most Frequent HLA-A Class I Alleles Measured by Quantitative Molecular Binding Assays," <i>Mol. Immunol.</i> 31:813-822, Pergamon Press (1994)                   |   |                               |           |             |
|   | AS | 118             | Sidney, J., <i>et al.</i> , "Definition of an HLA-A3-Like Supermotif Demonstrates the Overlapping Peptide-Binding Repertoires of Common HLA Molecules," <i>Hum. Immunol.</i> 45:79-93, Elsevier Science Inc. (1996) |   |                               |           |             |
|   | AT | 118             | Sidney, J., <i>et al.</i> , "Practical, biochemical and evolutionary implications of the discovery of HLA class I supermotifs," <i>Immunol. Today</i> 17:261-266, Elsevier Science (1996)                           |   |                               |           |             |
| EXAMINER   |    |                 |   | DATE CONSIDERED  |                               |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |   |                               |           |             |

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| FORM PTO-1449<br><br><u>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</u> |  | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|   |  | APPLICANT(S)<br>SETTE <i>et al.</i>      | FILING DATE<br>July 8, 1999   |
|   |  | ART UNIT<br>1644                         |                               |

## U.S. PATENT DOCUMENTS

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|                     | AA |                 |      |      |       |           |             |
|                     | AB |                 |      |      |       |           |             |
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|                     | AE |                 |      |      |       |           |             |
|                     | AF |                 |      |      |       |           |             |
|                     | AG |                 |      |      |       |           |             |
|                     | AH |                 |      |      |       |           |             |
|                     | AI |                 |      |      |       |           |             |
|                     | AJ |                 |      |      |       |           |             |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |  |
|---|----|-----|--|
|  | AR | 119 | Sidney, J., <i>et al.</i> , "The HLA-A*0207 Peptide Binding Repertoire is Limited to a Subset of the A*0201 Repertoire," <i>Hum. Immunol.</i> 58:12-20, Elsevier Science Inc. (November 1997)            |
|  | AS | 119 | Sinigaglia, F., and Hammer, J., "Defining rules for the peptide-MHC class II interaction," <i>Curr. Opin. Immunol.</i> 6:52-56, Current Biology Ltd. (1994)  |
|  | AT | 119 | Southwood, S., <i>et al.</i> , "Several Common HLA-DR Types Share Largely Overlapping Peptide Binding Repertoires," <i>J. Immunol.</i> 160:3363-3373, American Association of Immunologists (April 1998) |

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|   |  | APPLICANT(S)<br>SETTE <i>et al.</i>      | FILING DATE<br>July 8, 1999   |
|   |  | ART UNIT<br>1644                         |                               |

## U.S. PATENT DOCUMENTS

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|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |   |
|---|----|-----|---|
|  | AR | 120 | Sprent, J., and Schaefer, M., "Properties of Purified T Cell Subsets. I. In Vitro Responses to Class I vs. Class II H-2 Alloantigens," <i>J. Exp. Med.</i> 162:2068-2088, Rockefeller University Press (1985)                                   |
|  | AS | 120 | Stark, J.M., <i>et al.</i> , "Immunogenicity of lipid-conjugated antigens. I. The Influence of Chain Length and Degree of Conjugation on Induction of Antibody in Mice," <i>Immunology</i> 39:345-352, Blackwell Scientific Publications (1980) |
|  | AT | 120 | Steinman, R.M., "Dendritic cells and immune-based therapies," <i>Exp. Hematol.</i> 24:859-862, Elsevier Science Inc. (1996)   |

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| EXAMINER |  | DATE CONSIDERED | 7/11/2001 |
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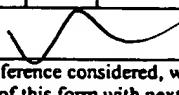
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| AH                  |                 |      |      |       |           |             |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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| AL                  |                 |      |         |       |           | Yes<br>No   |
| AM                  |                 |      |         |       |           | Yes<br>No   |
| AN                  |                 |      |         |       |           | Yes<br>No   |
| AO                  |                 |      |         |       |           | Yes<br>No   |
| AP                  |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |   |
|---|----|-----|---|
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|  | AS | 121 | Sugawara, S., <i>et al.</i> , "A simple method to eliminate the antigenicity of surface class I MHC molecules from the membrane of viable cells by acid treatment at pH 3," <i>J. Immunol. Methods</i> 100:83-90, Elsevier Science (1987)   |
|  | AT | 121 | Tam, J.P., and Lu, Y-A., "Vaccine engineering: Enhancement of immunogenicity of synthetic peptide vaccines related to hepatitis in chemically defined models consisting of T- and B-cell epitopes," <i>Proc. Natl. Acad. Sci. USA</i> 86:9084-9088, National Academy of Sciences (1989) |

| EXAMINER   | DATE CONSIDERED |
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|   |  | ART UNIT<br>1644                         |                               |

## U.S. PATENT DOCUMENTS

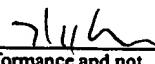
| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                     | AB |                 |      |      |       |           |             |
|                     | AC |                 |      |      |       |           |             |
|                     | AD |                 |      |      |       |           |             |
|                     | AE |                 |      |      |       |           |             |
|                     | AF |                 |      |      |       |           |             |
|                     | AG |                 |      |      |       |           |             |
|                     | AH |                 |      |      |       |           |             |
|                     | AI |                 |      |      |       |           |             |
|                     | AJ |                 |      |      |       |           |             |
|                     | AK |                 |      |      |       |           |             |

## FOREIGN PATENT DOCUMENTS

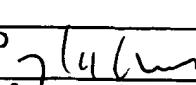
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

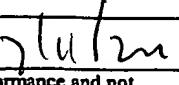
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |  |
|---|----|-----|--|
|   | AR | 122 | Townsend, A., and Bodmer, H., "Antigen Recognition by Class I-Restricted T Lymphocytes," <i>Ann. Rev. Immunol.</i> 7:601-624, Annual Reviews, Inc. (1989)  |
|  | AS | 122 | von Boehmer, H., and Haas, W., "Distinct Ir Genes for Helper and Killer Cells in the Cytotoxic Response to H-Y Antigen," <i>J. Exp. Med.</i> 150:1134-1142, Rockefeller University Press (1979)        |
|  | AT | 122 | Watari, E., <i>et al.</i> , "A Synthetic Peptide Induces Long-Term Protection from Lethal Infection with Herpes Simplex Virus 2," <i>J. Exp. Med.</i> 165:459-470, Rockefeller University Press (1987) |

| EXAMINER | DATE CONSIDERED   |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  | APPLICATION NO.<br>09/350,401 |                  |           |             |
|---|----|-----------------|---|-------------------------------|------------------|-----------|-------------|
|   |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   | FILING DATE<br>July 8, 1999   | ART UNIT<br>1644 |           |             |
| <b>U.S. PATENT DOCUMENTS</b>  |    |                 |   |                               |                  |           |             |
| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE  | NAME                          | CLASS            | SUB-CLASS | FILING DATE |
|   | AA |                 |   |                               |                  |           |             |
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|   | AC |                 |   |                               |                  |           |             |
|   | AD |                 |   |                               |                  |           |             |
|   | AE |                 |   |                               |                  |           |             |
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|   | AG |                 |   |                               |                  |           |             |
|   | AH |                 |   |                               |                  |           |             |
|   | AI |                 |   |                               |                  |           |             |
|   | AJ |                 |   |                               |                  |           |             |
|   | AK |                 |   |                               |                  |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>   |    |                 |   |                               |                  |           |             |
| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY                       | CLASS            | SUB-CLASS | TRANSLATION |
|   | AL |                 |   |                               |                  |           | Yes<br>No   |
|   | AM |                 |   |                               |                  |           | Yes<br>No   |
|   | AN |                 |   |                               |                  |           | Yes<br>No   |
|   | AO |                 |   |                               |                  |           | Yes<br>No   |
|   | AP |                 |   |                               |                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>   |    |                 |   |                               |                  |           |             |
|    | AR | 123             | Wentworth, P.A., <i>et al.</i> , "In Vitro Induction of Primary, Antigen-Specific CTL from Human Peripheral Blood Mononuclear Cells Stimulated with Synthetic Peptides," <i>Mol. Immunol.</i> 32:603-612, Elsevier Science Ltd. (1995)  |                               |                  |           |             |
|    | AS | 123             | Wherry, E.J., <i>et al.</i> , "The Induction of Virus-Specific CTL as a Function of Increasing Epitope Expression: Responses Rise Steadily Until Excessively High Levels of Epitope Are Attained," <i>J. Immunol.</i> 163:3735-3745, American Association of Immunologists (October 1999) |                               |                  |           |             |
|    | AT | 123             | Widmann, C., <i>et al.</i> , "T helper epitopes enhance the cytotoxic response of mice immunized with MHC class I-restricted malaria peptides," <i>J. Immunol. Meth.</i> 155:95-99, Elsevier Science Publishers B.V. (1992)   |                               |                  |           |             |
| EXAMINER  |    |                 |   |                               | DATE CONSIDERED  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. <span style="float: right;"></span> |    |                 |   |                               |                  |           |             |

| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M   | APPLICATION NO.<br>09/350,401 |   |           |             |
|--|----|-----------------|--|-------------------------------|---|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  | FILING DATE<br>July 8, 1999   | ART UNIT<br>1644  |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |  |                               |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME                          | CLASS   | SUB-CLASS | FILING DATE |
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|  | AF |                 |  |                               |   |           |             |
|  | AG |                 |  |                               |   |           |             |
|  | AH |                 |  |                               |   |           |             |
|  | AI |                 |  |                               |   |           |             |
|  | AJ |                 |  |                               |   |           |             |
|  | AK |                 |  |                               |   |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |                               |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | COUNTRY                       | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL | /               |  |                               |   |           | Yes<br>No   |
|  | AM |                 |  |                               |   |           | Yes<br>No   |
|  | AN |                 |  |                               |   |           | Yes<br>No   |
|  | AO |                 |  |                               |   |           | Yes<br>No   |
|  | AP |                 |  |                               |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |                               |   |           |             |
|    | AR | 124             | Wiesmüller, K-H., <i>et al.</i> , "Lipopeptide-Helper-T-Cell Epitope-CTL Epitope Conjugate Induces Antibodies Against the CTL Epitope," <i>Innovation Perspective Solid Phase Synthesis Collect. Papers, Int. Symp. 2nd</i> , pp. 499-502 (1991) |                               |   |           |             |
|   | AS | 124             | Wiesmüller, K-H., <i>et al.</i> , "Novel low-molecular-weight synthetic vaccine against foot-and mouth disease containing a potent B cell and macrophage activator," <i>Vaccine 7:29-33</i> , Butterworth & Co. (1989)                           |                               |   |           |             |
|   | AT | 124             | Yewdell, J.W., and Bennink, J.R., "Immunodominance in Major Histocompatibility Complex Class I-Restricted T Lymphocyte Responses," <i>Annu. Rev. Immunol. 17:51-88</i> , Annual Reviews Inc. (April 1999)  |                               |   |           |             |
| EXAMINER    |    |                 |  |                               | DATE CONSIDERED  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |  |                               |   |           |             |

| FORM PTO-1449<br><b>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  |         | APPLICATION NO.<br>09/350,401 |           |             |
|--|----|-----------------|---|---------|-------------------------------|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |         |                               |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999   |         | ART UNIT<br>1644              |           |             |
|  |    |                 | <b>U.S. PATENT DOCUMENTS</b>  |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | NAME    | CLASS                         | SUB-CLASS | FILING DATE |
|  | AA |                 |   |         |                               |           |             |
|  | AB |                 |   |         |                               |           |             |
|  | AC |                 |   |         |                               |           |             |
|  | AD |                 |   |         |                               |           |             |
|  | AE |                 |   |         |                               |           |             |
|  | AF |                 |   |         |                               |           |             |
|  | AG |                 |   |         |                               |           |             |
|  | AH |                 |   |         |                               |           |             |
|  | AI |                 |   |         |                               |           |             |
|  | AJ |                 |   |         |                               |           |             |
|  | AK |                 |   |         |                               |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |         |                               |           | Yes<br>No   |
|  | AM |                 |   |         |                               |           | Yes<br>No   |
|  | AN |                 |   |         |                               |           | Yes<br>No   |
|  | AO |                 |   |         |                               |           | Yes<br>No   |
|  | AP |                 |   |         |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |                               |           |             |
| WS   | AR | 125             | Zhou, X., <i>et al.</i> , "In vivo primary induction of virus-specific CTL by immunization with 9-mer synthetic peptides," <i>J. Immunol. Methods</i> 153:193-200, Elsevier Science Publishers B.V. (1992)          |         |                               |           |             |
|  | AS | 125             | Zinkernagel, R.M., <i>et al.</i> , "The Lymphoreticular System in Triggering Virus Plus Self-Specific Cytotoxic T Cells: Evidence for T Help," <i>J. Exp. Med.</i> 147:897-911, Rockefeller University Press (1978) |         |                               |           |             |
|  | AT | 125             | Altuvia, Y. <i>et al.</i> , "A Structure-Based Algorithm to Predict Potential Binding Peptides to MHC Molecules with Hydrophobic Binding Pockets," <i>Human Immunol.</i> 58:1-11, Elsevier Science Inc. (1997)      |         |                               |           |             |
| EXAMINER   |    |                 |   |         | DATE CONSIDERED               |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |         |                               |           |             |

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| FORM PTO-1449  |  | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
| FIFTH SUPPLEMENTAL<br>INFORMATION DISCLOSURE STATEMENT<br>TRADEMARK OFFICE |  | APPLICANTS<br>Sette <i>et al.</i>        |                               |
|  |  | FILING DATE<br>July 8, 1999              | ART UNIT<br>1644              |

## U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |       | DOCUMENT NUMBER | DATE       | NAME                   | CLASS | SUB-CLASS | FILING DATE |
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|                  | AG    |                 |            |                        |       |           |             |
|                  | AH    |                 |            |                        |       |           |             |
|                  | AI    |                 |            |                        |       |           |             |
| W                | AJ200 | 6,413,935       | 07/02/2002 | Sette <i>et al.</i>    | —     | —         | 01/23/1997  |
| U                | AK200 | 6,419,931       | 07/16/2002 | Vitiello <i>et al.</i> | —     | —         | 02/16/1994  |

## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |   |
|---|----|-----|---|
| W | AR | 210 | U.S. Patent Application No. 10/817,970, Grey <i>et al.</i> , filed April 6, 2004 (NOT PUBLISHED)  |
| U | AS | 210 | U.S. Patent Application No. 10/654,601, Sette <i>et al.</i> , filed September 4, 2003 (Published as US 2005/0063983 A1; document AI201) |
|   | AT |     |   |

| EXAMINER | DATE CONSIDERED |
|----------|-----------------|
|          | 7/4/2003        |

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FORM PTO-1449  
**FIFTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

O P E  
 JUN 09 2005  
 U.S. PATENT & TRADEMARK OFFICE

ATTY. DOCKET NO.  
 2060.0060008/PAJ/M-M

APPLICATION NO.  
 09/350,401

APPLICANTS  
 Sette *et al.*

FILING DATE  
 July 8, 1999

ART UNIT  
 1644

**U.S. PATENT DOCUMENTS**

| EXAMINER INITIAL | DOCUMENT NUMBER    | DATE       | NAME                 | CLASS | SUB-CLASS | FILING DATE |
|------------------|--------------------|------------|----------------------|-------|-----------|-------------|
| WY               | AA201 6,602,510    | 08/05/2003 | Fikes <i>et al.</i>  | —     | —         | 04/05/2000  |
|                  | AB201 2002/0160960 | 10/31/2002 | Sette <i>et al.</i>  | —     | —         | 04/11/2002  |
|                  | AC201 2003/0143672 | 07/31/2003 | Tangri <i>et al.</i> | —     | —         | 04/05/2002  |
|                  | AD201 2003/0216342 | 11/20/2003 | Fikes <i>et al.</i>  | —     | —         | 02/21/2003  |
|                  | AE201 2003/0216343 | 11/20/2003 | Fikes <i>et al.</i>  | —     | —         | 02/21/2003  |
|                  | AF201 2004/0096445 | 05/20/2004 | Sidney <i>et al.</i> | —     | —         | 08/22/2001  |
|                  | AG201 2004/0157273 | 08/12/2004 | Sidney <i>et al.</i> | —     | —         | 01/29/2002  |
|                  | AH201 2005/0049197 | 03/03/2005 | Sette <i>et al.</i>  | —     | —         | 10/07/2004  |
|                  | AI201 2005/0063983 | 03/24/2005 | Sette <i>et al.</i>  | —     | —         | 09/04/2003  |
| AJ               |                    |            |                      |       |           |             |
| AK               |                    |            |                      |       |           |             |

**FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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| AL               |                 |      |         |       |           | Yes<br>No   |
| AM               |                 |      |         |       |           | Yes<br>No   |
| AN               |                 |      |         |       |           | Yes<br>No   |
| AO               |                 |      |         |       |           | Yes<br>No   |
| AP               |                 |      |         |       |           | Yes<br>No   |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

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| AS |  |  |
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EXAMINER

DATE CONSIDERED

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7/11/2005

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|---|--|--|-------------------------------|
| FORM PTO-149<br>APR 11 2005<br>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT |  | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|   |  | APPLICANT(S)<br>SETTE <i>et al.</i>      | FILING DATE<br>July 8, 1999   |
|   |  | ART UNIT<br>1644                         |                               |

## U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE       | NAME                   | CLASS                | SUB-CLASS | FILING DATE |
|------------------|-----------------|------------|------------------------|----------------------|-----------|-------------|
| AA200            | 4,428,941       | 01/31/1984 | Galibert <i>et al.</i> |                      |           | 04/30/1981  |
| AB200            | 4,599,230       | 07/08/1986 | Milich <i>et al.</i>   |                      |           | 03/09/1984  |
| AC200            | 4,599,231       | 07/08/1986 | Milich <i>et al.</i>   |                      |           | 03/09/1984  |
| AD200            | 4,818,527       | 04/04/1989 | Thornton <i>et al.</i> |                      |           | 12/09/1986  |
| AE200            | 4,882,145       | 11/21/1989 | Thornton <i>et al.</i> |                      |           | 10/07/1987  |
| AR200            | 5,017,558       | 05/21/1991 | Vyas                   |                      |           | 09/13/1983  |
| AG200            | 5,019,386       | 05/28/1991 | Machida <i>et al.</i>  |                      |           | 08/29/1988  |
| AH200            | 5,783,567       | 07/21/1998 | Hedley <i>et al.</i>   |                      |           | 01/22/1997  |
| AJ200            | 5,840,303       | 11/24/1998 | Chisari <i>et al.</i>  |                      |           | 06/06/1995  |
| M                | AJ              | 5783 567   | 07/21/1998             | Hedley <i>et al.</i> |           |             |
| AK               |                 |            |                        |                      |           |             |

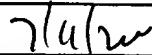
## FOREIGN PATENT DOCUMENTS

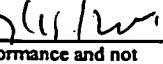
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| M                | AL200           | WO 81/00577 ✓  | WIPO    | —     | —         | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| ✓                | AM200           | EP 0 271 302 ✓ | Europe  | —     | —         | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| ✓                | AN200           | EP 0 534 615   | Europe  | —     | —         | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| ✓                | AQ200           | WO 93/03753    | WIPO    | —     | —         | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| ✓                | AP200           | WO 97/34621 ✓  | WIPO    | —     | —         | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |

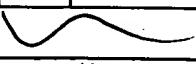
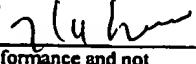
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |     |  |
|---|----|-----|--|
| ✓ | AR | 200 | Alberti, A., <i>et al.</i> , "Antibody Response to Pre-S2 and Hepatitis B Virus Induced Liver Damage," <i>Lancet</i> 1:1421-1424, Lancet Publishing Group (1988)   |
| ✓ | AS | 200 | Barnaba, V., <i>et al.</i> , "Recognition of Hepatitis B Virus Envelope Proteins by Liver-Infiltrating T Lymphocytes in Chronic HBV Infection," <i>J. Immunol.</i> 143:2650-2655, American Association of Immunologists (1989) |
| ✓ | AT | 200 | Bertoletti, A., <i>et al.</i> , "Molecular Features of the Hepatitis B Virus Nucleocapsid T-Cell Epitope 18-27: Interaction with HLA and T-Cell Receptor," <i>Hepatology</i> 26:1027-1034, Williams & Wilkins (1997)           |

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| FORM PTO-1449<br><br><b>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M   |         | APPLICATION NO.<br>09/350,401   |           |             |
|--|----|-----------------|--|---------|---|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         | FILING DATE<br>July 8, 1999   |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |  |         |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS   | SUB-CLASS | FILING DATE |
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|  | AG |                 |  |         |   |           |             |
|  | AH |                 |  |         |   |           |             |
|  | AI |                 |  |         |   |           |             |
|  | AJ |                 |  |         |   |           |             |
|  | AK |                 |  |         |   |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |         |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |   |           | Yes<br>No   |
|  | AM |                 |  |         |   |           | Yes<br>No   |
|  | AN |                 |  |         |   |           | Yes<br>No   |
|  | AO |                 |  |         |   |           | Yes<br>No   |
|  | AP |                 |  |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |   |           |             |
|   | AR | 201             | Celis, E., <i>et al.</i> , "Recognition of Hepatitis B Surface Antigen by Human T Lymphocytes. Proliferative and Cytotoxic Responses to a Major Antigenic Determinant Defined by Synthetic Peptides," <i>J. Immunol.</i> 140:1808-1815, American Association of Immunologists (1988) |         |   |           |             |
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|   | AT | 201             | Ferrari, C., <i>et al.</i> , "Identification of Immunodominant T Cell Epitopes of the Hepatitis B Virus Nucleocapsid Antigen," <i>J. Clin. Invest.</i> 88:214-222, American Society for Clinical Investigation (1991)  |         |   |           |             |
| EXAMINER   |    |                 |  |         | DATE CONSIDERED  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |  |         |   |           |             |

| FORM PTO-1449<br><br><b>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  |         | APPLICATION NO.<br>09/350,401 |           |             |
|--|----|-----------------|---|---------|-------------------------------|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |         | FILING DATE<br>July 8, 1999   |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |   |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | NAME    | CLASS                         | SUB-CLASS | FILING DATE |
|  | AA |                 |   |         |                               |           |             |
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|  | AE |                 |   |         |                               |           |             |
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|  | AG |                 |   |         |                               |           |             |
|  | AH |                 |   |         |                               |           |             |
|  | AI |                 |   |         |                               |           |             |
|  | AJ |                 |   |         |                               |           |             |
|  | AK |                 |   |         |                               |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |         |                               |           | Yes<br>No   |
|  | AM |                 |   |         |                               |           | Yes<br>No   |
|  | AN |                 |   |         |                               |           | Yes<br>No   |
|  | AO |                 |   |         |                               |           | Yes<br>No   |
|  | AP |                 |   |         |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |                               |           |             |
|    | AR | 202             | Hayashi, Y., <i>et al.</i> , "Studies on Peptides. CLXVI. Solid-Phase Syntheses and Immunological Properties of Fragment Peptides Related to Human Hepatitis B Virus Surface Antigen (HBsAg) and Its Pre-S2 Gene," <i>Chem. Pharm. Bull.</i> 36:4993-4999, Pharmaceutical Society of Japan (1988) |         |                               |           |             |
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| EXAMINER   |    |                 | DATE CONSIDERED    |         |                               |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |         |                               |           |             |

| FORM PTO-1449<br><br><b>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M   |         | APPLICATION NO.<br>09/350,401   |           |             |
|--|----|-----------------|--|---------|---|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         | FILING DATE<br>July 8, 1999   |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |  |         |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS   | SUB-CLASS | FILING DATE |
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|  | AJ |                 |  |         |   |           |             |
|  | AK |                 |  |         |   |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |         |   |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS   | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |   |           | Yes<br>No   |
|  | AM |                 |  |         |   |           | Yes<br>No   |
|  | AN |                 |  |         |   |           | Yes<br>No   |
|  | AO |                 |  |         |   |           | Yes<br>No   |
|  | AP |                 |  |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |   |           |             |
|   | AR | 203             | Kuhröber, A., <i>et al.</i> , "DNA vaccination with plasmids encoding the intracellular (HBcAg) or secreted (HBeAg) form of the core protein of hepatitis B virus primes T cell responses to two overlapping K <sup>b</sup> - and K <sup>d</sup> -restricted epitopes," <i>Int. Immunol.</i> 9:1203-1212, Oxford University Press (1997) |         |   |           |             |
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|   | AT | 203             | Livingston, B.D., <i>et al.</i> , "The Hepatitis B Virus-Specific CTL Responses Induced in Humans by Lipopeptide Vaccination are Comparable to Those Elicited by Acute Viral Infection," <i>J. Immunol.</i> 159:1383-1392, American Association of Immunologists (1997)  |         |   |           |             |
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| FORM PTO-1449<br><br><b>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</b> |  | ATTY. DOCKET NO.<br><b>2060.0060008/PAJ/M-M</b> | APPLICATION NO.<br><b>09/350,401</b> |
|  |  | APPLICANT(S)<br><b>SETTE et al.</b>             | FILING DATE<br><b>July 8, 1999</b>   |

**U.S. PATENT DOCUMENTS**

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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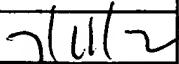
**FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

|  |    |     |   |
|--|----|-----|---|
|  | AR | 204 | Milich, D.R., "T- and B-cell recognition of hepatitis B viral antigens," <i>Immunol. Today</i> 9:380-386, Elsevier Science (1988)   |
|  | AS | 204 | Milich, D.R., and Chisari, F.V., "Immunogenetics and Cellular Correlates of the Immune Response to Hepatitis B Surface Antigen Determinants," in <i>Advances in Hepatitis Research</i> , Chisari, F.V., ed., Masson Publishing Co., New York, NY, pp. 91-109 (1984) |
|  | AT | 204 | Missale, G., et al., "HLA-A31- and HLA-Aw68-restricted Cytotoxic T Cell Responses to a Single Hepatitis B Virus Nucleocapsid Epitope during Acute Viral Hepatitis," <i>J. Exp. Med.</i> 177:751-762, Rockefeller University Press (1993)                            |

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| FORM PTO-1449  |  | ATTY. DOCKET NO.<br>2060.006008/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
| FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br><u>STATEMENT</u> |  | APPLICANT(S)<br>SETTE <i>et al.</i>     |                               |
|  |  | FILING DATE<br>July 8, 1999             | ART UNIT<br>1644              |

## U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                  | AA |                 |      |      |       |           |             |
|                  | AB |                 |      |      |       |           |             |
|                  | AC |                 |      |      |       |           |             |
|                  | AD |                 |      |      |       |           |             |
|                  | AE |                 |      |      |       |           |             |
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|                  | AH |                 |      |      |       |           |             |
|                  | AI |                 |      |      |       |           |             |
|                  | AJ |                 |      |      |       |           |             |
|                  | AK |                 |      |      |       |           |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes         |
|                  | AM |                 |      |         |       |           | No          |
|                  | AN |                 |      |         |       |           | Yes         |
|                  | AO |                 |      |         |       |           | No          |
|                  | AP |                 |      |         |       |           | Yes         |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

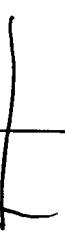
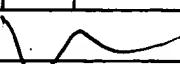
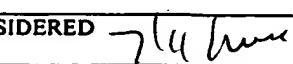
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|  | AR | 205 | Moriyama, T., <i>et al.</i> , "Immunobiology and Pathogenesis of Hepatocellular Injury in Hepatitis B Virus Transgenic Mice," <i>Science</i> 248:361-364, American Association for the Advancement of Science (1990)                                    |
|  | AS | 205 | Nayersina, R., <i>et al.</i> , "HLA A2 Restricted Cytotoxic T Lymphocyte Responses to Multiple Hepatitis B Surface Antigen Epitopes During Hepatitis B Virus Infection," <i>J. Immunol.</i> 150:4659-4671, American Association of Immunologists (1993) |
|  | AT | 205 | Neurath, A.R., <i>et al.</i> , "Specificity of Antibodies Elicited by a Synthetic Peptide Having a Sequence in Common with a Fragment of a Virus Protein—The Hepatitis B Surface Antigen," <i>Dev. Biol. Stand.</i> 54:103-112, S. Karger (1983)        |

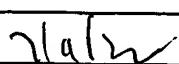
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| FORM PTO-1449<br><br><u>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</u>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M  |         | APPLICATION NO.<br>09/350,401    |           |             |
|--|----|-----------------|---|---------|----------------------------------|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   |         |                                  |           |             |
|  |    |                 | FILING DATE<br>July 8, 1999   |         | ART UNIT<br>1644                 |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |   |         |                                  |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | NAME    | CLASS                            | SUB-CLASS | FILING DATE |
|  | AA |                 |   |         |                                  |           |             |
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|  | AH |                 |   |         |                                  |           |             |
|  | AI |                 |   |         |                                  |           |             |
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|  | AK |                 |   |         |                                  |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |         |                                  |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY | CLASS                            | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |         |                                  |           | Yes<br>No   |
|  | AM |                 |   |         |                                  |           | Yes<br>No   |
|  | AN |                 |   |         |                                  |           | Yes<br>No   |
|  | AO |                 |   |         |                                  |           | Yes<br>No   |
|  | AP |                 |   |         |                                  |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |         |                                  |           |             |
| <i>MR</i>  | AR | 206             | Oseroff, C., <i>et al.</i> , "Pools of lipidated HTL-CTL constructs prime for multiple HBV and HCV CTL epitope responses," <i>Vaccine</i> 16:823-833, Elsevier Science (April 1998)   |         |                                  |           |             |
| <i>J</i>   | AS | 206             | Rehermann, B., <i>et al.</i> , "Cytotoxic T Lymphocyte Responsiveness after Resolution of Chronic Hepatitis B Virus Infection," <i>J. Clin. Invest.</i> 97:1655-1665, American Society for Clinical Investigation (1996)              |         |                                  |           |             |
| <i>J</i>   | AT | 206             | Rehermann, B., <i>et al.</i> , "The Cytotoxic T Lymphocyte Response to Multiple Hepatitis B Virus Polymerase Epitopes During and After Acute Viral Hepatitis," <i>J. Exp. Med.</i> 181:1047-1058, Rockefeller University Press (1995) |         |                                  |           |             |
| EXAMINER   |    |                 |   |         | DATE CONSIDERED <i>7/11/2001</i> |           |             |
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| FORM PTO-1449<br><br><u>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br/>STATEMENT</u>   |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M   |         | APPLICATION NO.<br>09/350,401   |           |             |
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| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS   | SUB-CLASS | FILING DATE |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |         |   |           |             |
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|  | AL |                 |  |         |   |           | Yes<br>No   |
|  | AM |                 |  |         |   |           | Yes<br>No   |
|  | AN |                 |  |         |   |           | Yes<br>No   |
|  | AO |                 |  |         |   |           | Yes<br>No   |
|  | AP |                 |  |         |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |   |           |             |
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|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>   | FILING DATE<br>July 8, 1999   | ART UNIT<br>1644  |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |   |                               |   |           |             |
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|  | AL |                 |   |                               |   |           | Yes<br>No   |
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|  | AO |                 |   |                               |   |           | Yes<br>No   |
|  | AP |                 |   |                               |   |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |                               |   |           |             |
|   | AR | 208             | Sobao, Y., <i>et al.</i> , "Identification of hepatitis B virus-specific CTL epitopes presented by HLA-A*2402, the most common HLA class I allele in East Asia," <i>J. Hepatol.</i> 34:922-929, Elsevier (2001)   |                               |   |           |             |
|   | AS | 208             | van der Most, R.G., <i>et al.</i> , "Analysis of Cytotoxic T Cell Responses to Dominant and Subdominant Epitopes During Acute and Chronic Lymphocytic Choriomeningitis Virus Infection," <i>J. Immunol.</i> 157:5543-5554, American Association of Immunologists (1996) |                               |   |           |             |
|   | AT | 208             | Vitiello, A., <i>et al.</i> , "Comparison of cytotoxic T lymphocyte responses induced by peptide or DNA immunization: implications on immunogenicity and immunodominance," <i>Eur. J. Immunol.</i> 27:671-678, VCH Verlagsgesellschaft (1997)                           |                               |   |           |             |
| EXAMINER   |    |                 |   |                               | DATE CONSIDERED  |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |                               |   |           |             |

| FORM PTO-1449<br><br>FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE<br><u>STATEMENT</u>  |    |                 | ATTY. DOCKET NO.<br>2060.0060008/PAJ/M-M   |         | APPLICATION NO.<br>09/350,401 |           |             |
|--|----|-----------------|--|---------|-------------------------------|-----------|-------------|
|  |    |                 | APPLICANT(S)<br>SETTE <i>et al.</i>  |         | FILING DATE<br>July 8, 1999   |           |             |
| <b>U.S. PATENT DOCUMENTS</b>   |    |                 |  |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | NAME    | CLASS                         | SUB-CLASS | FILING DATE |
|  | AA |                 |  |         |                               |           |             |
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|  | AK |                 |  |         |                               |           |             |
| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |  |         |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE   | COUNTRY | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |  |         |                               |           | Yes<br>No   |
|  | AM |                 |  |         |                               |           | Yes<br>No   |
|  | AN |                 |  |         |                               |           | Yes<br>No   |
|  | AO |                 |  |         |                               |           | Yes<br>No   |
|  | AP |                 |  |         |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |  |         |                               |           |             |
|    | AR | 209             | Vitiello, A., <i>et al.</i> , "Development of a Lipopeptide-based Therapeutic Vaccine to Treat Chronic HBV Infection. I. Induction of a Primary Cytotoxic T Lymphocyte Response in Humans," <i>J. Clin. Invest.</i> 95:341-349, American Society for Clinical Investigation (1995) |         |                               |           |             |
|   | AS | 209             | Wentworth, P.A., <i>et al.</i> , "In Vitro Induction of Primary, Antigen-Specific CTL from Human Peripheral Blood Mononuclear Cells Stimulated with Synthetic Peptides," <i>Mol. Immunol.</i> 32:603-612, Pergamon Press (1995)  |         |                               |           |             |
|   | AT | 209             | Derwent World Patent Index, English Abstract of WO 81/00577 (Document AL200), Dialog File Number 351, Accession No. 3160881  |         |                               |           |             |
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| FORM PTO-1449<br><b>FIRST SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |  |
|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

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| AA1              |  |                 |      |      |       |           |             |
| AB1              |  |                 |      |      |       |           |             |
| AC1              |  |                 |      |      |       |           |             |
| AD1              |  |                 |      |      |       |           |             |
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|------------------|-----|-----------------|------------|---------|-------|-----------|-------------|
| (B)              | AL1 | EP 0 044 710 A1 | 01/27/1982 | Europe  | —     | —         | Yes<br>No   |
| (B)              | AM1 | EP 0 226 513 A1 | 06/24/1987 | Europe  | —     | —         | Yes<br>X No |
| (B)              | AN1 | WO 92/02543 A1  | 02/20/1992 | WIPO    | —     | —         | Yes<br>No   |
| (B)              | AO1 | WO 92/12996 A2  | 08/06/1992 | WIPO    | —     | —         | Yes<br>No   |
| (B)              | AP1 | WO 92/21033 A1  | 11/26/1992 | WIPO    | —     | ✓         | Yes<br>X No |

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| (B) | AR | 1 | Aichele, P., et al., "Antiviral cytotoxic T cell response induced by in vivo priming with a free synthetic peptide," <i>J. Exp. Med.</i> 171:1815-1820, <i>Rockefeller University Press</i> (1990)   |
| (B) | AS | 1 | Alexander, J., et al., "Derivation of HLA-A11/K <sup>b</sup> Transgenic Mice. Functional CTL Repertoire and Recognition of Human A11-Restricted CTL Epitopes," <i>J. Immunol.</i> 159:4753-4761, <i>The American Association of Immunologists</i> (1997) |
| (B) | AT | 1 | Bergmann, C.C., et al., "Differential Effects of Flanking Residues on Presentation of Epitopes from Chimeric Peptides," <i>J. Virol.</i> 68:5306-5310, <i>American Society for Microbiology</i> (August 1994)  |

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| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | <i>7/9/2001</i> |
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| FORM PTO-1449<br><b>FIRST SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b>  |     |                 | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M   |                                 | APPLICATION NO.<br>09/350,401 |           |             |
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|  |     |                 | APPLICANT<br>SETTE et al.  |                                 |                               |           |             |
|  |     |                 | FILING DATE<br>July 8, 1999  |                                 | GROUP<br>1644                 |           |             |
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| EXAMINER INITIAL   |     | DOCUMENT NUMBER | DATE   | NAME                            | CLASS                         | SUB-CLASS | FILING DATE |
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| EXAMINER INITIAL   |     | DOCUMENT NUMBER | DATE   | COUNTRY                         | CLASS                         | SUB-CLASS | TRANSLATION |
| BM   | AL2 | WO 93/03764 A1  | 03/04/1993   | WIPO                            |                               |           | Yes<br>No   |
| ↓  | AM2 | WO 94/03205 A1  | 02/17/1994   | WIPO                            |                               |           | Yes<br>No   |
| BM   | AN2 | WO 94/11738 A1  | 05/26/1994   | WIPO                            | —                             | —         | Yes<br>X No |
| BM   | AO2 | WO 94/20127 A1  | 09/15/1994   | WIPO                            |                               |           | Yes<br>No   |
| BM   | AP2 | WO 96/03140 A1  | 02/08/1996   | WIPO                            | —                             | —         | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |     |                 |  |                                 |                               |           |             |
| BM   | AR  | 2               | Bertoni, R., et al., "Human Histocompatibility Leukocyte Antigen-binding Supermotifs Predict Broadly Cross-reactive Cytotoxic T Lymphocyte Responses in Patients with Acute Hepatitis," J. Clin. Invest. 100:503-513, The American Society for Clinical Investigation, Inc. (1997) |                                 |                               |           |             |
| BM   | AS  | 2               | Bertoni, R., et al., "Human Class I Supertypes and CTL Repertoires Extend to Chimpanzees," J. Immunol. 161:4447-4455, American Association of Immunologists (1998)   |                                 |                               |           |             |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |          |  |
|-----------|----|----------|--|
| <i>Mh</i> | AR | <u>3</u> | Bjorkman, P.J., et al., "The foreign antigen binding site and T cell recognition regions of class I histocompatibility antigens," <i>Nature</i> 329:512-518, Macmillan Publishers, Ltd. (1987) |
| <i>Mh</i> | AS | <u>3</u> | Buus, S., et al., "Autologous Peptides Constitutively Occupy the Antigen Binding Site on Ia," <i>Science</i> 242:1045-1047, American Association for the Advancement of Science (1988)         |
| <i>Mh</i> | AT | <u>3</u> | Carreño, B.M., et al., "HLA-B37 and HLA-A2.1 molecules bind largely nonoverlapping sets of peptides," <i>Proc. Natl. Acad. Sci. USA</i> 87:3420-3424, National Academy Press (1990)            |

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| FORM PTO-1449<br><b>FIRST SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |  |
|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

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|                  | AA |                 |      |      |       |           |             |
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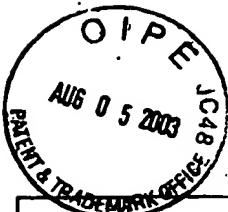
## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

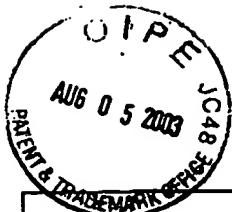
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|-----|----|---|--|
| W31 | AR | 4 | Corr, M., et al., "Endogenous Peptides of a Soluble Major Histocompatibility Complex Class I Molecule, H-2L <sup>d</sup> : Sequence Motif, Quantitative Binding, and Molecular Modeling of the Complex," <i>J. Exp. Med.</i> 176:1681-1692, Rockefeller University Press (December 1992) |
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| EXAMINER   | DATE CONSIDERED |
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|  |    |                 |   | APPLICANT<br>SETTE et al.                    |                               |           |             |
|  |    |                 |   | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |           |             |
|  |    |                 |   | <b>U.S. PATENT DOCUMENTS</b>                 |                               |           |             |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |    |                 |   |  |                               |           |             |
| EXAMINER INITIAL   |    | DOCUMENT NUMBER | DATE  | COUNTRY                                      | CLASS                         | SUB-CLASS | TRANSLATION |
|  | AL |                 |   |  |                               |           | Yes<br>No   |
|  | AM |                 |   |  |                               |           | Yes<br>No   |
|  | AN |                 |   |  |                               |           | Yes<br>No   |
|  | AO |                 |   |  |                               |           | Yes<br>No   |
|  | AP |                 |   |  |                               |           | Yes<br>No   |
| <b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>  |    |                 |   |  |                               |           |             |
| <i>M1</i>  | AR | 5               | Deres, K., et al., "In vivo priming of virus-specific cytotoxic T lymphocytes with synthetic lipopeptide vaccine," <i>Nature</i> 342:561-564, Macmillan Publishers, Ltd. (1989)   |  |                               |           |             |
| <i>M1</i>  | AS | 5               | DiBrino, M., et al., "HLA-A1 and HLA-A3 T Cell Epitopes Derived from Influenza Virus Proteins Predicted from Peptide Binding Motifs," <i>J. Immunol.</i> 151:5930-5935, The Association of Immunologists (December 1993)  |  |                               |           |             |
| <i>M1</i>  | AT | 5               | DiBrino, M., et al., "Endogenous peptides bound to HLA-A3 possess a specific combination of anchor residues that permit identification of potential antigenic peptides," <i>Proc. Natl. Acad. Sci. USA</i> 90:1508-1512, National Academy Press (February 1993) |  |                               |           |             |
| EXAMINER   |    |                 |   | DATE CONSIDERED <i>7/11/2001</i>             |                               |           |             |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |    |                 |   |  |                               |           |             |



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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
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|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |   |   |
|-----|----|---|---|
| WZ/ | AR | 6 | Ding, Y.-H., et al., "Two Human T Cell Receptors Bind in a Similar Diagonal Mode to the HLA-A2/Tax Peptide Complex Using Different TCR Amino Acids," <i>Immunity</i> 8:403-11, Cell Press (1998)                              |
| WZ/ | AS | 6 | Eisenlohr, L.C., et al., "Flanking Sequences Influence the Presentation of an Endogenously Synthesized Peptide to Cytotoxic T Lymphocytes," <i>J. Exp. Med.</i> 175:481-487, The Rockefeller University Press (February 1992) |
| WZ/ | AT | 6 | Engelhard, V.H., "Structure of peptides associated with MHC Class I molecules," <i>Curr. Opin. Immunol.</i> 6:13-23, Current Biology, Ltd. (February 1994)  |

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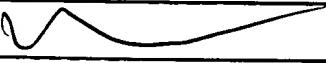
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|                  | AG |                 |      |      |       |           |             |
|                  | AH |                 |      |      |       |           |             |
|                  | AI |                 |      |      |       |           |             |
|                  | AJ |                 |      |      |       |           |             |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |   |  |
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| VS | AR | 7 | Falk, K., et al., "Allele-specific motifs revealed by sequencing of self-peptides eluted from MHC molecules," <i>Nature</i> 351:290-296, Macmillan Publishers, Ltd. (1991) |
|    | AS | 7 | Falk, K., et al., "MHC peptide motif register. Peptide motifs of HLA-B35 and -B37 molecules," <i>Immunogenetics</i> 38:161-162, Springer-Verlag (April 1993)               |
|    | AT | 7 | Falk, K., et al., "Allele-specific peptide ligand motifs of HLA-C molecules," <i>Proc. Natl. Acad. Sci. USA</i> 90:12005-12009, National Academy Press (December 1993)     |

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| EXAMINER   |  |  | DATE CONSIDERED | 7/9/2005 |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |   |  |                 |          |



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|   |  | APPLICANT<br>SETTE et al.                    |                               |
|   |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

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|                  | AA |                 |      |      |       |           |             |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |          |  |
|-----------|----|----------|--|
| <i>My</i> | AR | <u>8</u> | Falk, K., et al., "Pool sequencing of natural HLA-DR, DQ, and DP ligands reveals detailed peptide motifs, constraints of processing, and general rules," <i>Immunogenetics</i> 39:230-242, Springer-Verlag (February 1994) |
| <i>J</i>  | AS | <u>8</u> | Falk, K., et al., "Peptide motifs of HLA-A1, -A11, -A31, and -A33 molecules," <i>Immunogenetics</i> 40:238-241, Springer-Verlag (July 1994)  |
| <i>J</i>  | AT | <u>8</u> | Foon, K.A., "Biological Response Modifiers: The New Immunotherapy," <i>Cancer Res.</i> 49:1621-1639, American Association for Cancer Research (1989)   |

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|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----|----|---|--|
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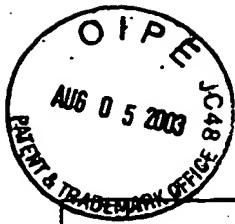
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| AL               |  |                 |      |         |       |           | Yes<br>No   |
| AM               |  |                 |      |         |       |           | Yes<br>No   |
| AN               |  |                 |      |         |       |           | Yes<br>No   |
| AO               |  |                 |      |         |       |           | Yes<br>No   |
| AP               |  |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|    | AS | 10 | Hunt, D.F., et al., "Characterization of Peptides Bound to the Class I MHC Molecule HLA-A2.1 by Mass Spectrometry," <i>Science</i> 255:1261-1263, American Association for the Advancement of Science (March 1992)                             |
|    | AT | 10 | Ishioka, G.Y., et al., "Utilization of MHC Class I Transgenic Mice for Development of Minigene DNA Vaccines Encoding Multiple HLA-Restricted CTL Epitopes," <i>J. Immunol.</i> 162:3915-3925, The American Association of Immunologists (1999) |

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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|            |    |           |   |
|------------|----|-----------|---|
| <i>WMS</i> | AR | <u>11</u> | Jameson, S.C., and Bevan, M.J., "Dissection of major histocompatibility complex (MHC) and T cell receptor contact residues in a K <sup>b</sup> -restricted ovalbumin peptide and an assessment of the predictive power of MHC-binding motifs," <i>Eur. J. Immunol.</i> 22:2663-2667, VCH Verlagsgesellschaft mbH (October 1992) |
| <i>J</i>   | AS | <u>11</u> | Jardetzky, T.S., et al., "Identification of self peptides bound to purified HLA-B27," <i>Nature</i> 353:326-329, Macmillan Publishers, Ltd. (1991)  |
| <i>J</i>   | AT | <u>11</u> | Kannagi, M., et al., "Target Epitope in the Tax Protein of Human T-Cell Leukemia Virus Type I Recognized by Class I Major Histocompatibility Complex-Restricted Cells," <i>J. Virol.</i> 66:2928-2933, American Society for Microbiology (May 1992)   |

|  |                    |                 |                 |
|--|--------------------|-----------------|-----------------|
| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | <i>7/1/2003</i> |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
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|------------------|----|-----------------|------|------|-------|-----------|-------------|
|                  | AA |                 |      |      |       |           |             |
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|                  | AH |                 |      |      |       |           |             |
|                  | AI |                 |      |      |       |           |             |
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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|            |    |           |   |
|------------|----|-----------|---|
| <i>PBS</i> | AR | <u>12</u> | Kast, W.M., et al., "Protection against lethal Sendai virus infection by in vivo priming of virus-specific cytotoxic T lymphocytes with a free synthetic peptide," Proc. Natl. Acad. Sci. USA 88:2283-2287, National Academy Press (1991) |
| <i>1</i>   | AS | <u>12</u> | Kast, W.M., et al., "Strict peptide length is not required for the induction of cytotoxic T lymphocyte-mediated antiviral protection by peptide vaccination," Eur. J. Immunol. 23:1189-1192, VCH Verlagsgesellschaft mbH (May 1993)       |
| <i>+</i>   | AT | <u>12</u> | Krieger, J.I., et al., "Single amino acid changes in DR and antigen define residues critical for peptide-MHC binding and T cell recognition," J. Immunol. 146:2331-2340, American Association of Immunologists (1991)                     |

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|--|--------------------|-----------------|-----------------|
| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | <i>7/9/2003</i> |
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|                  | AH |                 |      |      |       |           |             |
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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |   |
|-----------|----|-----------|---|
| <i>PM</i> | AR | <u>13</u> | Lipford, G.B., et al., "Primary in Vivo Responses to Ovalbumin. Probing the Predictive Value of the K <sup>b</sup> Binding Motif," J. Immunol. 150:1212-1222, The American Association of Immunologists (February 1993) |
|           | AS | <u>13</u> | Maryanski, J.L., et al., "Synthetic peptides as antigens and competitors in recognition by H-2-restricted cytolytic T cells specific for HLA," J. Exp. Med. 167:1391-1405, Rockefeller University Press (1988)          |
|           | AT | <u>13</u> | Maryanski, J.L., et al., "Competitor Analogs for Defined T Cell Antigens: Peptides Incorporating a Putative Binding Motif and Polyproline or Polyglycine Spacers," Cell 60:63-72, Cell Press (1990)                     |

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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |   |
|-----------|----|-----------|---|
| <i>PS</i> | AR | <u>14</u> | Morrison, J., et al., "Identification of the nonamer peptide from influenza A matrix protein and the role of pockets of HLA-A2 in its recognition by cytotoxic T lymphocytes," <i>Eur. J. Immunol.</i> 22:903-907, VCH Verlagsgesellschaft mbH (April 1992)                                   |
| <i>/</i>  | AS | <u>14</u> | Niedermann, G., et al., "The proteolytic fragments generated by vertebrate proteasomes: Structural relationships to major histocompatibility complex class I binding peptides," <i>Proc. Natl. Acad. Sci. USA</i> 93:8572-8577, National Academy Press (1996)                                 |
| <i>H</i>  | AT | <u>14</u> | Ochoa-Garay, J., et al., "The ability of peptides to induce cytotoxic T cells in vitro does not strongly correlate with their affinity for the H-2L <sup>d</sup> molecule: implications for vaccine design and immunotherapy," <i>Mol. Immunol.</i> 34:273-281, Elsevier Science, Ltd. (1997) |

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|--|--------------------|-----------------|-----------------|
| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | <i>7/9/2001</i> |
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|                  | AI |                 |      |      |       |           |             |
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|                  | AK |                 |      |      |       |           |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|          |    |           |   |
|----------|----|-----------|---|
| <i>M</i> | AR | <u>15</u> | Pamer, E.G., et al., "Precise prediction of a dominant class I MHC-restricted epitome of <i>Listeria monocytogenes</i> ," <i>Nature</i> 353:852-855, Macmillan Publishers, Ltd. (1991)                                |
| <i>1</i> | AS | <u>15</u> | Parham, P., et al., "The Origins of HLA-A, B, C Polymorphism," <i>Immunol. Rev.</i> 143:141-180, Munksgaard (1995)  |
| <i>✓</i> | AT | <u>15</u> | Parker, K.C., et al., "Peptide Binding to HLA-A2 and HLA-B27 Isolated from <i>Escherichia coli</i> ," <i>J. Biol. Chem.</i> 267:5451-5459, American Society for Biochemistry and Molecular Biology, Inc. (March 1992) |

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| EXAMINER   | <i>✓</i> | DATE CONSIDERED | <i>7/9/2003</i> |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |          |                 |                 |



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| FORM PTO-1449<br><b>FIRST SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|   |  | APPLICANT<br>SETTE et al.                    |                               |
|   |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

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|                  | AA |                 |      |      |       |           |             |
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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| 17 | AR | <u>16</u> | Parker, K.C., et al., "Sequence motifs important for peptide binding to the human MHC class I molecule, HLA-A2," <i>J. Immunol.</i> 149:3580-3587, American Association of Immunologists (December 1992) |
|    | AS | <u>16</u> | Rammensee, H.-G., et al., "Peptides Naturally Presented by MHC Class I Molecules," <i>Annu. Rev. Immunol.</i> 11:213-244, Annual Reviews, Inc. (January 1993)  |
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| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | 7/9/2001 |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |   |
|-----------|----|-----------|---|
| <i>PS</i> | AR | <u>17</u> | Reddehase, M.J., et al., "A pentapeptide as minimal antigenic determinant for MHC class I-restricted T lymphocytes," <i>Nature</i> 337:651-653, Macmillan Publishers, Ltd. (1989) |
|           | AS | <u>17</u> | Romero, P., et al., "H-2K <sup>d</sup> -restricted Antigenic Peptides Share a Simple Binding Motif," <i>J. Exp. Med.</i> 174:603-612, Rockefeller University Press (1991)         |
| <i>J</i>  | AT | <u>17</u> | Rothbard, J.B., "Major histocompatibility complex-peptide interactions," <i>Curr. Opin. Immunol.</i> 2:99-105, Current Biology, Ltd. (1989)                                       |

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|--|--------------------|-----------------|-----------------|
| EXAMINER   | <i>[Signature]</i> | DATE CONSIDERED | <i>7/9/2003</i> |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |  |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |  |

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| AJ               |  |                 |      |      |       |           |             |
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|------------------|--|-----------------|------|---------|-------|-----------|-------------|
| AL               |  |                 |      |         |       |           | Yes<br>No   |
| AM               |  |                 |      |         |       |           | Yes<br>No   |
| AN               |  |                 |      |         |       |           | Yes<br>No   |
| AO               |  |                 |      |         |       |           | Yes<br>No   |
| AP               |  |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|    | AS | 18 | Rötzschke, O., et al., "Characterization of Naturally Occurring Minor Histocompatibility Peptides Including H-4 and H-Y," <i>Science</i> 249:283-287, American Association for the Advancement of Science (1990) |
|    | AT | 18 | Rötzschke, O., and Falk, K., "Naturally-occurring peptide antigens derived from the MHC class-I-restricted processing pathway," <i>Immunol. Today</i> 12:447-455, Elsevier Science Publishers, Ltd. (1991)       |

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| EXAMINER   |  |  | DATE CONSIDERED | 7/19/2005 |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

## U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                  | AA |                 |      |      |       |           |             |
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|                  | AI |                 |      |      |       |           |             |
|                  | AJ |                 |      |      |       |           |             |
|                  | AK |                 |      |      |       |           |             |

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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |  |
|-----------|----|-----------|--|
| <i>W3</i> | AR | <u>19</u> | Rötzschke, O., et al., "Peptide motifs of closely related HLA class I molecules encompass substantial differences," <i>Eur. J. Immunol.</i> 22:2453-2456, VCH Verlagsgesellschaft mbH (September 1992) |
| <i>↓</i>  | AS | <u>19</u> | Rötzschke, O., and Falk, K., "Origin, structure and motifs of naturally processed MHC class II ligands," <i>Curr. Opin. Immunol.</i> 6:45-51, Current Biology, Ltd. (February 1994)                    |
| <i>↓</i>  | AT | <u>19</u> | Rudinger, J., "Characteristics of the amino acids as components of a peptide hormone sequence," in <i>Peptide Hormones</i> , Parsons, J.A., ed., University Park Press, Baltimore, MD, pp.1-7 (1976)   |

|   |  |  |                 |
|---|--|--|-----------------|
| EXAMINER  |  |  | DATE CONSIDERED |
| <i>✓</i>  |  |  | <i>7/9/2003</i> |
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|   |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

**U.S. PATENT DOCUMENTS**

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|----|-----------------|------|------|-------|-----------|-------------|
|                  | AA |                 |      |      |       |           |             |
|                  | AB |                 |      |      |       |           |             |
|                  | AC |                 |      |      |       |           |             |
|                  | AD |                 |      |      |       |           |             |
|                  | AE |                 |      |      |       |           |             |
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|                  | AG |                 |      |      |       |           |             |
|                  | AH |                 |      |      |       |           |             |
|                  | AI |                 |      |      |       |           |             |
|                  | AJ |                 |      |      |       |           |             |
|                  | AK |                 |      |      |       |           |             |

**FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

|            |    |           |   |
|------------|----|-----------|---|
| <i>W31</i> | AR | <u>20</u> | Ruppert, J., et al., "Prominent Role of Secondary Anchor Residues in Peptide Binding to HLA-A2.1 Molecules," Cell 74:929-937, Cell Press (September 1993)   |
| <i>MS</i>  | AS | <u>20</u> | Schulz, M., et al., "Major histocompatibility complex binding and T cell recognition of a viral nonapeptide containing a minimal tetrapeptide," Eur. J. Immunol. 21:1181-1185, VCH Verlagsgesellschaft mbH (1991) |
| <i>AT</i>  | AT | <u>20</u> | Sette, A., et al., "Prediction of major histocompatibility complex binding regions of protein antigens by sequence pattern analysis," Proc. Natl. Acad. Sci. USA 86:3296-3300, National Academy Press (1989)      |

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|---|-----------------|-----------------|
| EXAMINER  | DATE CONSIDERED | <i>7/9/2001</i> |
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|   |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

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|                  | AH |                 |      |      |       |           |             |
|                  | AI |                 |      |      |       |           |             |
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|                  | AK |                 |      |      |       |           |             |

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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |  |
|-----------|----|-----------|--|
| <i>BC</i> | AR | <u>21</u> | Sette, A., et al., "Random association between the peptide repertoire of A2.1 class I and several different DR class II molecules," <i>J. Immunol.</i> 147:3893-3900, The American Association of Immunologists (1991)                 |
| <i>MJ</i> | AS | <u>21</u> | Sette, A., et al., "The Relationship Between Class I Binding Affinity and Immunogenicity of Potential Cytotoxic T Cell Epitopes," <i>J. Immunol.</i> 153:5586-5592, The American Association of Immunologists (December 1994)          |
| <i>MJ</i> | AT | <u>21</u> | Shastri, N., et al., "Presentation of Endogenous Peptide/MHC Class I Complexes Is Profoundly Influenced by Specific C-Terminal Flanking Residues," <i>J. Immunol.</i> 155: 4339-4346, The American Association of Immunologists (1995) |

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|--|-----------------|-----------------|
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|          |    |           |  |
|----------|----|-----------|--|
| <i>M</i> | AR | <u>22</u> | Sherman, L.A., et al., "Extracellular Processing of Peptide Antigens That Bind Class I Major Histocompatibility Molecules," <i>J. Exp. Med.</i> 175:1221-1226, The Rockefeller University Press (May 1992) |
| <i>J</i> | AS | <u>22</u> | Shimojo, N., et al., "Specificity of peptide binding by the HLA-A2.1 molecule," <i>J. Immunol.</i> 143:2939-2947, The American Association of Immunologists (1989)   |
| <i>J</i> | AT | <u>22</u> | Sidney, J., et al., "Several HLA Alleles Share Overlapping Peptide Specificities," <i>J. Immunol.</i> 154:247-259, The American Association of Immunologists (1995)  |

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|---|--|-----------------|
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

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|    |    |    | Threlkeld, S.C., et al., "Degenerate and Promiscuous Recognition by CTL of Peptides Presented by the MHC Class I A1-Like Superfamily. Implications for Vaccine Development," J. Immunol. 159:1648-1657, The American Association of Immunologists (1997) |
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|   |  | APPLICANT<br>SETTE et al.                    |                               |
|   |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

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| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                  | AA |                 |      |      |       |           |             |
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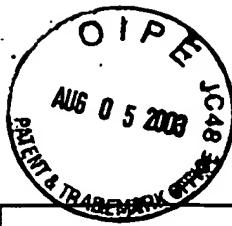
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| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| EXAMINER   |  | DATE CONSIDERED | 7/9/2003 |
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|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

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|     | AS | <u>25</u> | Derwent World Patent Index,<br>Dialog File 351, Accession No. 7180926, Derwent WPI English language abstract for EP 0 226 513.  |
|     | AT | <u>25</u> | Derwent World Patent Index,<br>Dialog File 351, Accession No. 9263567, Derwent WPI English language abstract for WO 92/21033.   |

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|---------------------|----|--------------------|------|---------|-------|---------------|-------------|
|                     | AL |                    |      |         |       |               | Yes<br>No   |
|                     | AM |                    |      |         |       |               | Yes<br>No   |
|                     | AN |                    |      |         |       |               | Yes<br>No   |
|                     | AO |                    |      |         |       |               | Yes<br>No   |
|                     | AP |                    |      |         |       |               | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>PM</i> | AR | <u>26</u> | <i>Derwent World Patent Index</i><br>Dialog File 351, Accession No. 9888606, Derwent WPI English language abstract for<br>WO 94/11738. |
|           | AS |           |  |
|           | AT |           |  |

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| EXAMINER  | <i>[Signature]</i> | DATE CONSIDERED | <i>7/9/2001</i> |
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|  |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |
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| EXAMINER INITIAL         |     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| VM                       | AL3 | EP 0 429 816 A1 | 06/05/1991 | Europe  | —     | —         | Yes<br>No   |
| ↓                        | AM3 | EP 0 469 281 A1 | 02/05/1992 | Europe  | —     | —         | Yes<br>No   |
| ↓                        | AN3 | EP 0 491 077 A1 | 06/24/1992 | Europe  | —     | —         | Yes<br>No   |
| ↓                        | AO3 | WO 93/03753     | 03/04/1993 | WIPO    | —     | —         | Yes<br>No   |
| ↓                        | AP3 | WO 94/19011     | 09/01/1994 | WIPO    | —     | ✓         | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |  |  |  |  |
|--|----|----|---|--|--|--|--|
|  | AR |    |   |  |  |  |  |
| VM   | AS | 26 | Alexander, J., et al., "The Optimization of Helper T Lymphocyte (HTL) Function in Vaccine Development," <i>Immunol. Res.</i> 18:79-92, Humana Press Inc. (1998).  |  |  |  |  |
| VM   | AT | 26 | Ando, K., et al., "Mechanisms of Class I Restricted Immunopathology. A Transgenic Mouse Model of Fulminant Hepatitis," <i>J. Exp. Med.</i> 178:1541-1554, The Rockefeller University Press (November 1993). |  |  |  |  |

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|  |  | APPLICANT<br>SETTE et al.                    |  |                               |
|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                       | AC |                 |      |      |       |           |             |
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|                       | AI |                 |      |      |       |           |             |
|                       | AJ |                 |      |      |       |           |             |
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| EXAMINER<br>INITIAL      |     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| VM3                      | AL4 | WO 95/03777     | 02/09/1995 | WIPO    | —     | —         | Yes<br>No   |
| VM3                      | AM4 | WO 95/22317     | 08/24/1995 | WIPO    | —     | —         | Yes<br>No   |
| VM3                      | AN4 | WO 99/45954     | 09/16/1999 | WIPO    | —     | —         | Yes<br>No   |
| VM3                      | AO4 | EP 1 018 558 A2 | 07/12/2000 | Europe  | —     | —         | Yes<br>No   |
| VM3                      | AP4 | WO 02/19986 A1  | 03/14/2002 | WIPO    | —     | —         | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |  |  |  |  |
|--|----|----|--|--|--|--|--|
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|  | AS | 27 | Bertoletti, A., et al., "Definition of a Minimal Optimal Cytotoxic T-Cell Epitope within the Hepatitis B Virus Nucleocapsid Protein," <i>J. Virol.</i> 67:2376-2380, American Society for Microbiology (April 1993). |  |  |  |  |
|  | AT | 27 | Bertoletti, A., et al., "Natural variants of cytotoxic epitopes are T-cell receptor antagonists for antiviral cytotoxic T cells," <i>Nature</i> 369:407-410, Nature Publishing Co. (June 1994).                      |  |  |  |  |

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|  |  | APPLICANT<br>SETTE et al.                    |                               |  |
|  |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |  |

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|------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |    |   |
|-----------|----|----|---|
| <i>MS</i> | AR | 28 | Bertoletti, A., et al., "HLA class I-restricted human cytotoxic T cells recognize endogenously synthesized hepatitis B virus nucleocapsid antigen," Proc. Natl. Acad. Sci. USA 88:10445-10449, National Academy of Sciences (1991).   |
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| EXAMINER | <i>~~~~~</i> | DATE CONSIDERED | <i>7/9/2001</i> |
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| AL               |  |                 |      |         |       |           | Yes<br>No   |
| AM               |  |                 |      |         |       |           | Yes<br>No   |
| AN               |  |                 |      |         |       |           | Yes<br>No   |
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| AP               |  |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| WJ | AS | 29 | Bruss, V., "A Short Linear Sequence in the Pre-S Domain of the Large Hepatitis B Virus Envelope Protein Required for Virion Formation," J. Virol. 71:9350-9357, American Society for Microbiology (1997). |
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|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|           |    |           |   |
|-----------|----|-----------|---|
| <i>My</i> | AR | <u>30</u> | Chang, K.-M., et al., "Identification of HLA-A3 and -B7-Restricted CTL Response to Hepatitis C Virus in Patients with Acute and Chronic Hepatitis C," <i>J. Immunol.</i> 162:1156-1164, The American Association of Immunologists (1999). |
| <i>J</i>  | AS | <u>30</u> | Chisari, F.V., "Hepatitis B Virus Immunopathogenesis," <i>Annu. Rev. Immunol.</i> 13:29-60, Annual Reviews Inc. (1995).   |
| <i>J</i>  | AT | <u>30</u> | del Guercio, M.-F., et al., "Binding of a Peptide Antigen to Multiple HLA Alleles Allows Definition of an A2-Like Supertype," <i>J. Immunol.</i> 154:685-693, The American Association of Immunologists (1995).                           |

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| EXAMINER | <i>✓</i> | DATE CONSIDERED <u>7/9/2003</u> |
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| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |
|  |  | APPLICANT<br>SETTE et al.                    |  |                               |
|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

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|------------------|----|-----------------|------|------|-------|-----------|-------------|
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## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----------|----|-----------|--|
| <i>WJ</i> | AR | <u>31</u> | Diepolder, H.M., et al., "Immunodominant CD4 <sup>+</sup> T-Cell Epitope within Nonstructural Protein 3 in Acute Hepatitis C Virus Infection," <i>J. Virol.</i> 71:6011-6019, American Society for Microbiology (1997).      |
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| EXAMINER   | <i>WJ</i> | DATE CONSIDERED | <i>7/18/2003</i> |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |           |                 |                  |



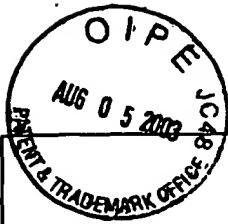
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| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |  |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
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|                          | AN |                 |      |         |       |           | Yes<br>No   |
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|  |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |  |  |  |  |
|--|----|----|--|--|--|--|--|
| <i>(M)</i>   | AR | 33 | Ishioka, G.Y., et al., "Class I MHC-restricted, Peptide-specific Cytotoxic T Lymphocytes Generated by Peptide Priming In Vivo," in <i>Vaccines 90</i> , Brown, F., et al., eds., Cold Spring Harbor Laboratory Press, pp. 7-11 (1990).     |  |  |  |  |
| <i>(M)</i>   | AS | 33 | Kondo, A., et al., "Prominent Roles of Secondary Anchor Residues in Peptide Binding to HLA-A24 Human Class I Molecules," <i>J. Immunol.</i> 155:4307-4312, The American Association of Immunologists (1995).                               |  |  |  |  |
| <i>(M)</i>   | AT | 33 | Lamontaca, V., et al., "Conserved Hepatitis C Virus Sequences Are Highly Immunogenic for CD4+ T Cells: Implications for Vaccine Development," <i>Hepatology</i> 30:1088-1098, American Association for the Study of Liver Diseases (1999). |  |  |  |  |

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| EXAMINER   | <i>~~~~~</i> |  |  | DATE CONSIDERED | <i>7/9/99</i> |
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| <b>FORM PTO-1449</b><br><b>SECOND SUPPLEMENTAL</b><br><b><u>INFORMATION DISCLOSURE STATEMENT</u></b> | <b>ATTY. DOCKET NO.</b><br><b>2060.0060008/EKS/PAJ/M-M</b> | <b>APPLICATION NO.</b><br><b>09/350,401</b> |
| <b>APPLICANT</b><br><b>SETTE et al.</b>  |  |   |
| <b>FILING DATE</b><br><b>July 8, 1999</b>  |  |   |
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| AJ                    |  |                 |      |      |       |           |             |
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FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |           |   |
|---|----|-----------|---|
|  | AR | <u>34</u> | <p>Lerner, R.A., et al., "Chemically synthesized peptides predicted from the nucleotide sequence of the hepatitis B virus genome elicit antibodies reactive with the native envelope protein of Dane particles," <i>Proc. Natl. Acad. Sci. USA</i> 78:3403-3407, National Academy of Sciences (1981).</p> |
|  | AS | <u>34</u> | <p>Milich, D.R., et al., "Immune Response to Hepatitis B Virus Core Antigen (HbcAg): Localization of T Cell Recognition Sites Within HbcAg/HBeAg," <i>J. Immunol.</i> 139:1223-1231, The American Association of Immunologists (1987).</p>  |
|  | AT | <u>34</u> | <p>Milich, D.R., "Probing T Cell Antigen Recognition: Use of Synthetic Peptides," <i>Pept. Res.</i> 3:85-96, Eaton Publishing Co. (1990).</p>   |

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| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |  |
|  |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |

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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |  |  |  |  |  |
|--|----|-----------|--|--|--|--|--|
| <i>Mu</i>  | AR | <u>35</u> | Nayersina, R., et al., "HLA A2 Restricted Cytotoxic T Lymphocyte Responses to Multiple Hepatitis B Surface Antigen Epitopes during Hepatitis B Virus Infection," <i>J. Immunol.</i> 150:4659-4671, The American Association of Immunologists (May 1993).   |  |  |  |  |
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| <i>J</i>   | AT | <u>35</u> | Penna, A., et al., "Cytotoxic T Lymphocytes Recognize an HLA-A2-restricted Epitope within the Hepatitis B Virus Nucleocapsid Antigen," <i>J. Exp. Med.</i> 174:1565-1570, The Rockefeller University Press (1991).   |  |  |  |  |

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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| ✓M1 | AS | 36 | Prezzi, C., et al., "Virus-specific CD8 <sup>+</sup> T cells with type 1 or type 2 cytokine profile are related to different disease activity in chronic hepatitis C virus infection," <i>Eur. J. Immunol.</i> 31:894-906, Wiley-VCH Verlag GmbH (2001). |
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|                  | AL |                 |      |         |       |           | Yes<br>No   |
|                  | AM |                 |      |         |       |           | Yes<br>No   |
|                  | AN |                 |      |         |       |           | Yes<br>No   |
|                  | AO |                 |      |         |       |           | Yes<br>No   |
|                  | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |    |  |
|----|----|----|--|
|    | AR | 37 | Rehermann, B., et al., "Cytotoxic T Lymphocyte Responsiveness after Resolution of Chronic Hepatitis B Virus Infection," J. Clin. Invest. 97:1655-1665, The American Society for Clinical Investigation, Inc. (1996). |
| WJ | AS | 37 | Sallberg, M., et al., "Human and Murine B-Cells Recognize the HBeAg/Beta (or HBe2) Epitope as a Linear Determinant," Mol. Immunol. 28:719-726, Pergamon Press (1991).  |
| WJ | AT | 37 | Scognamiglio, P., et al., "Presence of Effector CD8 <sup>+</sup> Cells in Hepatitis C Virus-Exposed Healthy Seronegative Donors," J. Immunol. 162:6681-6689, The American Association of Immunologists (1999).       |

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|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |

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|------------------------|----|-----------------|------|------|-------|-----------|-------------|
| EXAMINER<br>INITIAL    |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|                        | AA |                 |      |      |       |           |             |
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|                        | AH |                 |      |      |       |           |             |
|                        | AI |                 |      |      |       |           |             |
|                        | AJ |                 |      |      |       |           |             |
|                        | AK |                 |      |      |       |           |             |

| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |           |             |
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| EXAMINER<br>INITIAL      |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |  |  |  |  |
|--|----|----|---|--|--|--|--|
| W  | AR | 38 | Sidney, J., et al., "Specificity and Degeneracy in Peptide Binding to HLA-B7-Like Class I Molecules," J. Immunol. 157:3480-3490, The American Association of Immunologists (1996).  |  |  |  |  |
|  | AS | 38 | Sidney, J., et al., "Definition of an HLA-A3-Like Supermotif Demonstrates the Overlapping Peptide-Binding Repertoires of Common HLA Molecules," Hum. Immunol. 45:79-93, American Society for Histocompatibility and Immunogenetics (1996).    |  |  |  |  |
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|---|-----------------|
| EXAMINER  | DATE CONSIDERED |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.<br>Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |                 |



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|--|--|--|-------------------------------|
| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|  |  | APPLICANT<br>SETTE et al.                    |                               |
|  |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
|-----------------------|----|-----------------|------|------|-------|-----------|-------------|
| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                       | AI |                 |      |      |       |           |             |
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| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |           |             |
|--------------------------|----|-----------------|------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |  |  |  |  |  |
|--|----|-----------|--|--|--|--|--|
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|  | AT | <u>39</u> | Pending Non-Provisional United States Patent Application No. 09/350,401, Sette et al., filed July 8, 1999, Cover page, Tables and Claims only (NOT PUBLISHED).   |  |  |  |  |

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| EXAMINER   |  | DATE CONSIDERED | <i>7/6/99</i> |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. |  |                 |               |



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| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M |  | APPLICATION NO.<br>09/350,401 |  |
|  |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |
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| U. S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER<br>INITIAL      |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |  |  |  |  |
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| EXAMINER   |  |  | DATE CONSIDERED | 7/6/2003 |
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|  |  | APPLICANT<br>SETTE et al.                    |  |                               |  |
|  |  | FILING DATE<br>July 8, 1999                  |  | GROUP<br>1644                 |  |
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| AL                       |  |                 |      |         |       |           | Yes<br>No   |
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| AN                       |  |                 |      |         |       |           | Yes<br>No   |
| AO                       |  |                 |      |         |       |           | Yes<br>No   |
| AP                       |  |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |   |  |  |  |  |
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| <i>WJ</i>  | AS | <u>41</u> | Shirai, M., et al., "CTL Responses of HLA-A2.1-Transgenic Mice Specific for Hepatitis C Viral Peptides Predict Epitopes for CTL of Humans Carrying HLA-A2.1," <i>J. Immunol.</i> 154:2733-2742, The American Association of Immunologists (1995). |  |  |  |  |
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| EXAMINER   | <i>WJ</i> | DATE CONSIDERED | <i>7/16/2003</i> |
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| FORM PTO-1449<br><b>SECOND SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</b> |  | ATTY. DOCKET NO.<br>2060.0060008/EKS/PAJ/M-M | APPLICATION NO.<br>09/350,401 |
|  |  | APPLICANT<br>SETTE et al.                    |                               |
|  |  | FILING DATE<br>July 8, 1999                  | GROUP<br>1644                 |

| U. S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER INITIAL       |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
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|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |  |  |  |  |
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|  | AT | 42 | <del>Pending Non-Provisional U.S. Patent Application No. 10/363,990, Sette et al., filed March 10, 2003 (PUBLISHED AS WO-03/19986 A1; see Document AP3.)</del>  |  |  |  |  |

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| Title of Invention  | Inducing Cellular Immune Responses to Hepatitis B Virus Using Peptide and Nucleic Acid Compositions   |            |                |                 |      |       |          |
|---|---|------------|----------------|-----------------|------|-------|----------|
| Application Number:   | 09/350401    |            |                |                 |      |       |          |
| Confirmation Number:  | 8008  |            |                |                 |      |       |          |
| First Named Applicant:  | Alessandro Sette  |            |                |                 |      |       |          |
| Attorney Docket Number:   | 2060.0060008  |            |                |                 |      |       |          |
| Search string:  | ( 4428941 or 4599230 or 4599231 or 4818527 or 4882145 or 5017558 or 5019386 or 5039522 or 5143726 or 5196194 or 5780036 or 5788969 or 5840303 or 5932224 or 6037135 or 6235288 or 5200320 or 5503829 or 5662907 or 6034214 or 6037135 or 20020168374 or 20020177694 or 20020098197 or 20030021809 ).pn. |            |                |                 |      |       |          |
| <b>US Patent Documents</b>  |   |            |                |                 |      |       |          |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents |   |            |                |                 |      |       |          |
| init  | Cite.No.  | Patent No. | Date           | Patentee        | Kind | Class | Subclass |
|   | 1   | 4428941    | 1984-01-31     | Galibert et al. |      |       |          |
|   | 2   | 4599230    | 1986-07-08     | Millich et al.  |      |       |          |
|   | 3   | 4599231    | 1986-07-08     | Millich et al.  |      |       |          |
|   | 4   | 4818527    | 1989-04-04     | Thornton et al. |      |       |          |
|   | 5   | 4882145    | 1989-11-21     | Thornton et al. |      |       |          |
|   | 6   | 5017558    | 1991-05-21     | Vyas            |      |       |          |
|   | 7   | 5019386    | 1991-05-28     | Mochida et al.  |      |       |          |
|   | 8   | 5039522    | 1991-08-13     | Nourath         |      |       |          |
|   | 9   | 5143726    | 1992-09-01     | Thornton et al. |      |       |          |
| 10  | 5196194   | 1993-03-23 | Rutter et al.  |                 |      |       |          |
| 11  | 5780036   | 1998-07-14 | Chisari        |                 |      |       |          |
| 12  | 5788969   | 1998-08-04 | Chisari        |                 |      |       |          |
| 13  | 5840303   | 1998-11-24 | Chisari et al. |                 |      |       |          |
| 14  | 5932224   | 1999-08-03 | Chisari        |                 |      |       |          |
| 15  | 6037135   | 2000-03-14 | Kubo et al.    |                 |      |       |          |

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| 17 | 5200320 | 1993-04-06 | Sette et al.  |
| 18 | 5503829 | 1996-04-02 | Ladant et al. |
| 19 | 5662907 | 1997-09-02 | Kubo et al.   |
| 20 | 6034214 | 2000-03-07 | Boon et al.   |
| 21 | 6037135 | 2000-03-14 | Kubo et al.   |

## US Published Applications

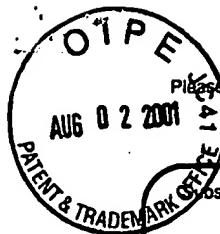
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| init | Cite.No. | Pub. No.    | Date       | Applicant    | Kind | Class | Subclass |
|------|----------|-------------|------------|--------------|------|-------|----------|
| 1    | 1        | 20020168374 | 2002-11-14 | Kubo et al.  | A1   | —     | —        |
|      | 2        | 20020177694 | 2002-11-28 | Sette et al. | A1   | —     | —        |
|      | 3        | 20020098197 | 2002-07-25 | Sette et al. | A1   | —     | —        |
|      | 4        | 20030021809 | 2003-01-30 | Chisari      | A1   | —     | —        |

Signature

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|---|---------|
| Examiner Name   | Date    |
|  | 7/14/03 |





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Sheet 2 of 5

| Complete if Known      |                 |
|------------------------|-----------------|
| Application Number     | 09/350,401      |
| Filing Date            | July 8, 1999    |
| First Named Inventor   |                 |
| Group Art Unit         | 1644            |
| Examiner Name          | R. Schwadron    |
| Attorney Docket Number | 018623-013910US |

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| FOREIGN PATENT DOCUMENTS |                       |                         |                     |                                      |   |  |   |                          |
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| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document |                     |                                      | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>2</sup>           |
|                          |                       | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |   |  |   |                          |
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| AS                       | EPO                   | 0 469 281               |                     | A1                                   |   |  |   | <input type="checkbox"/> |
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| Application Number     | 09/350,401      |
| Filing Date            | July 8, 1999    |
| First Named Inventor   |                 |
| Group Art Unit         | 1644            |
| Examiner Name          | R. Schwadron    |
| Attorney Docket Number | 018623-013910US |

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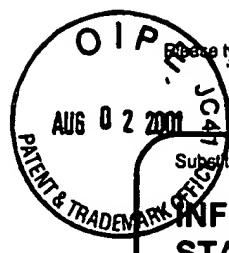
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|---------------------|--|---|----------------|
| AU                  | Alexander <i>et al.</i> "Derivation of HLA-A11/K <sup>b</sup> Transgenic Mice" <u>The Journal of Immunology</u> (1997) 159: 4753-4761  | <input type="checkbox"/>  |                |
| AV                  | Alexander, <i>et al.</i> "The Optimization of Helper T Lymphocyte (HTL) Function in Vaccine Development" <u>Immunological Research</u> (1998) 18 (2) 79-92.  | <input type="checkbox"/>  |                |
| AW                  | Ando <i>et al.</i> , "Mechanisms of Class I Restricted Immunopathology. A Transgenic Mouse Model of Fulminant Hepatitis" <u>J. Exp. Med.</u> (1993) 178: 1541-1554   | <input type="checkbox"/>  |                |
| AX                  | Barnaba <i>et al.</i> , "Selective Killing of Hepatitis B Envelope Antigen-specific B cells by Class I-restricted, Exogenous Antigen-specific T Lymphocytes" <u>Nature</u> (1990) 345 258-260  | <input type="checkbox"/>  |                |
| AY                  | Bertoletti <i>et al.</i> , "Definition of a Minimal Optimal Cytotoxic T-Cell Epitope Within the Hepatitis B Virus Nucleocapsid Protein" <u>Journal of Virology</u> (1993) 67(4): 2376-2380   | <input type="checkbox"/>  |                |
| AZ                  | Bertoletti <i>et al.</i> , "Natural Variants of Cytotoxic Epitopes are T-cell Receptor Antagonists for Antiviral Cytotoxic T Cells" <u>Nature</u> (1994) 369: 407-410  | <input type="checkbox"/>  |                |
| AAA                 | Bertoletti <i>et al.</i> , "HLA Class I-restricted Human Cytotoxic T Cells Recognize Endogenously Synthesized Hepatitis B Virus Nucleocapsid Antigen" <u>Proc. Natl. Acad. Sci. USA</u> (1991) 88: 10445-10449                           | <input type="checkbox"/>  |                |
| AAB                 | Bertoni <i>et al.</i> , "Human Histocompatibility Leukocyte Antigen-binding Supermotifs Predict Broadly Cross-reactive Cytotoxic T Lymphocyte Responses in Patients with Acute Hepatitis" <u>J. Clin. Invest.</u> (1997) 100(3): 503-513 | <input type="checkbox"/>  |                |
| AAC                 | Borras-Cuesta <i>et al.</i> , "Engineering of Immunogenic Peptides by Co-linear Synthesis of Determinants Recognized by B and T Cells" <u>Eur. J. Immunol.</u> (1987) 17: 1213-1215  | <input type="checkbox"/>  |                |
| AAD                 | Bhatnagar <i>et al.</i> , "Immune Response to Synthetic Peptide Analogues of Hepatitis B Surface Antigen Specific for the a Determinant" <u>Proc. Natl. Acad. Sci. USA</u> (1982) 79: 4400-4404  | <input type="checkbox"/>  |                |
| AAE                 | Celis <i>et al.</i> , "Recognition of Hepatitis B Surface Antigen by Human T Lymphocytes" <u>The Journal of Immunology</u> (1988) 140: 1808-1815   | <input type="checkbox"/>  |                |
| AAF                 | Chisari, "Hepatitis B Virus Immunopathogenesis" <u>Annu. Rev. Immunol.</u> (1995) 13: 29-60  | <input type="checkbox"/>  |                |
| AAG                 | del Guercio <i>et al.</i> , "Binding of a Peptide Antigen to Multiple HLA Alleles Allows Definition of an A2-Like Supertype" <u>The Journal of Immunology</u> (1995) 154: 685-693  | <input type="checkbox"/>  |                |

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Sheet 4 of 5

| Complete if Known      |                 |
|------------------------|-----------------|
| Application Number     | 09/350,401      |
| Filing Date            | July 8, 1999    |
| First Named Inventor   |                 |
| Group Art Unit         | 1644            |
| Examiner Name          | R. Schwadron    |
| Attorney Docket Number | 018623-013910US |

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| AAH               |                       | Deres <i>et al.</i> , "In <i>Vivo</i> Priming of Virus-specific Cytotoxic T Lymphocytes with Synthetic Lipopeptide Vaccine" <i>Nature</i> (1989) 342: 561-564  | <input type="checkbox"/> |
| AAI               |                       | Fayolle <i>et al.</i> , "In Vivo Induction of Cytotoxic T Cell Response by a Free Synthetic Peptide Requires CD4+ T Cell Help" <i>The Journal of Immunology</i> (1991) 147: 4069-4073  | <input type="checkbox"/> |
| AAJ               |                       | Ferrari <i>et al.</i> , "Identification of Immunodominant T Cell Epitopes of the Hepatitis B Virus Nucleocapsid Antigen" <i>J. Clin. Invest.</i> (1991) 88: 214-222  | <input type="checkbox"/> |
| AAK               |                       | Fujii, <i>et al.</i> , "Synthesis of Peptide Fragments of Hepatitis B Virus Surface Antigen (HBsAg) and Their Immunogenicity" <i>Peptide Chemistry</i> (1983), E.Munekata(Ed.) 215-220   | <input type="checkbox"/> |
| AAL               |                       | Hayashi <i>et al.</i> , "Studies on Peptides, CLXVI. Solid-Phase Syntheses and Immunological Properties of Fragment Peptides Related to Human Hepatitis B Virus Surface Antigen (HBsAg) and Its Pre-S2 Gene" <i>Chem. Pharm. Bull.</i> (1988) 36(12): 4993-4999        | <input type="checkbox"/> |
| AAM               |                       | Hopp, "Immunogenicity of a Synthetic HBsAg Peptide Enhancement by Conjugation to a Fatty Acid Carrier" <i>Molecular Immunology</i> (1984) 21(1): 13-16   | <input type="checkbox"/> |
| AAN               |                       | Ishioka <i>et al.</i> , "Class I MHC-restricted, Peptide-specific Cytotoxic T Lymphocytes Generated by Peptide Priming <i>In Vivo</i> " <i>Vaccines</i> 90 (1990) Cold Springs Harbor Laboratory Press pp. 7-11  | <input type="checkbox"/> |
| AAO               |                       | Kondo <i>et al.</i> , "Prominent Roles of Secondary Anchor Residues in Peptide Binding to HLA-A24 Human Class I Molecules" <i>The Journal of Immunology</i> (1995) 155: 4307-4312  | <input type="checkbox"/> |
| AAP               |                       | Lerner <i>et al.</i> , "Chemically Synthesized Peptides Predicted From the Nucleotide Sequence of the Hepatitis B Virus Genome Elicit Antibodies Reactive with the Native Envelope Protein of Dane Particles" <i>Proc. Natl. Acad. Sci. USA</i> (1981) 78(6) 3403-34-7 | <input type="checkbox"/> |
| AAQ               |                       | Milich, "Probing T Cell Antigen Recognition: Use of Synthetic Peptides" <i>Peptide Research</i> (1990) 3(2): 85-96   | <input type="checkbox"/> |
| AAR               |                       | Milich <i>et al.</i> , "Immune Response to Hepatitis B-Virus Core Antigen (HBcAg): Localization of T Cell Recognition Sites Within HBcAg/HBeAg" <i>The Journal of Immunology</i> (1987) 139(4): 1223-1231  | <input type="checkbox"/> |
| AAS               |                       | Nayersina <i>et al.</i> , "HLA A2 Restricted Cytotoxic T Lymphocyte Responses to Multiple Hepatitis B Surface Antigen Epitopes During Hepatitis B Virus Infection" <i>The Journal of Immunology</i> (1993) 150(10): 4659-4671  | <input type="checkbox"/> |

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|---------------------|-----------------------|---|--------------------------|
| AAT                 |                       | Penna <i>et al.</i> , "Hepatitis B Virus (HBV)-Specific Cytotoxic T Cell (CTL) Response in Humans. Characterization of HLA Class II-Restricted CTLs That Recognize Endogenously Synthesized HBV Envelope Antigens" <i>Journal of Virology</i> (1992) 66(2): 1193-1198 | <input type="checkbox"/> |
| AAU                 |                       | Penna <i>et al.</i> , "Cytotoxic T Lymphocytes Recognized an HLA-A2-restricted Epitope Within the Hepatitis B Virus Nucleocapsid Antigen" <i>J. Exp. Med.</i> (1991) 174: 1565-2570   | <input type="checkbox"/> |
| AAV                 |                       | Rehermann <i>et al.</i> , "The Cytotoxic T Lymphocyte Response to Multiple Hepatitis B Virus Polymerase Epitopes During and After Acute Viral Hepatitis" <i>The Journal of Experimental Medicine</i> (1995) 181: 1047-1058  | <input type="checkbox"/> |
| AAW                 |                       | Ruppert <i>et al.</i> , "Prominent Role of Secondary Anchor Residues in Peptide Binding to HLA A2.1 Molecules" <i>Cell</i> (1993) 74: 929-937   | <input type="checkbox"/> |
| AAX                 |                       | Salberg <i>et al.</i> , "Human and Murine B-cells Recognize the HBcAg/BETA (or Hbe2) Epitope as a Linear Determinant" <i>Molecular Immunology</i> (1991) 28(7): 719-726   | <input type="checkbox"/> |
| AAY                 |                       | Sette <i>et al.</i> , "The Relationship Between Class I-Binding Affinity and Immunogenicity of Potential Cytotoxic T Cell Epitopes" <i>The Journal of Immunology</i> (1994) 153:5586-5592   | <input type="checkbox"/> |
| AAZ                 |                       | Sidney <i>et al.</i> , "Specificity and Degeneracy in Peptide Binding to HLA-B7-Like Class I Molecules" <i>The Journal of Immunology</i> (1996) 157: 3480-3490  | <input type="checkbox"/> |
| AAAA                |                       | Tecu, <i>et al.</i> , "Enhancement of Tumor Outgrowth Through CTL Tolerization After Peptide Vaccination is Avoided by Peptide Presentation on Dendritic Cells" <i>Journal of Immunology</i> (1998) 160:4449-4456   | <input type="checkbox"/> |
| AAAB                |                       | Wakita <i>et al.</i> , "Gamma-Interferon Production in Response to Hepatitis B Core Protein and Its Synthetic Peptides in Patients with Chronic Hepatitis B Virus Infection" <i>Digestion</i> (1990) 47: 149-155  | <input type="checkbox"/> |
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